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Michael J. O'Mullane
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PLANNING OF THE IMPLEMENTATION OF PUBLIC POLICY: A CASE STUDY OF THE BOARD OF STUDIES, N.S.W.

A thesis submitted in fulfilment of the requirements for the degree

Doctor of Philosophy

from

The University of Wollongong

by



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1994

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In particular, I acknowledge the continuous support of the President of the Board, Mr John Lambert, who gave permission to use the Board and its plans as a case study of public policy implementation planning, and who generously gave time to conduct a number of interviews with him and provided considerable written and oral information not available from other sources.

Michael J. O'Mullane

March, 1994

Abstract

O'Mullane, Michael Joseph. 1994). *Planning of the Implementation of Public Policy: A Case Study of the Board of Studies, N.S.W.* A thesis submitted in fulfilment of the requirements for the degree of Doctor of Philosophy (Graduate School of Education), The University of Wollongong, N.S.W.

This case study of the implementation of 1990 N.S.W. curriculum and credentialling reform policy by the Board of Studies, N.S.W. explores the planning involved in converting the intentions of public policy into more specific guidelines.

The analysis is conducted within a conceptual framework developed from relevant theories and prior findings on the nature of public policy, of planning, and of organizational processes which bring policy and planning together.

Specific research questions investigated relate to the *characteristics of implementation plans, implementation planning processes undertaken, and the factors which influence the planning process.*

A *multiperspectivist* approach is taken to data collection and analysis, combining the assumptions of *logical-positivism* and *non logical-positivism* through the use of three different instruments: documents, interviews and participant observation.

The findings include the recognition that implementation plans constitute two hierarchies, one based on corporate level plans, the other based on the personal plans of managers. The plans are highly compatible with the policy but there is a tendency for

lower level plans to relate less directly to the policy intentions.

Three implementation planning processes have been recognized: organizational planning and design, macro-planning and micro-planning. Planning processes have been found to involve a high degree of negotiation among managers, between managers and the Board, and between the President of the Board and the Minister. Consequently, consistency among plans is achieved through both consensus and compliance.

A range of external environmental and internal organizational factors have been identified as influencing planning. The latter are found to have a more significant influence.

The study relates the findings to existing theory and indicates the emergence of a theory of implementation planning.

Finally, a number of proposals are made in the areas of public policy implementation planning, curriculum and credentialling policy implementation planning, and epistemological and methodological choice in implementation research.

CHAPTER 1 INTRODUCTION

Background and Purpose of the Study

The understanding of the processes of converting the intentions of public policy into actions is relatively incomplete with little previous research specifically undertaken on stages or phases of implementation. One such stage or phase in the implementation process is the *planning* which is undertaken by public organizations responsible for implementation. This aspect of implementation, in particular, has not received adequate attention even though *planning* is frequently assumed to be an essential management function in public, as well as private, organizations and, theoretically, is essential in implementing any public policy *faithfully* according to the intentions.

The research reported here attempts to address this deficiency in knowledge of planning in the public policy implementation process. This is done by conducting an exploratory case study of the *planning* by the Board of Studies, N.S.W., of the implementation of a curriculum and credentialling reform policy contained in the *N.S.W. Education Reform Act* (1990) and related documents, over the period June, 1990 to December, 1992. The study has entailed focusing on the implementation *planning process* and implementation *plans*, and on *factors* influencing the process and the plans, as initial steps in converting the intentions of the reform policy into more specific, detailed actions and guidelines for schools and school systems.

Overview of the Policy

The N.S.W. curriculum and credentialling reform policy is a significant component of a larger package of *education reform* described in 1989 by the then N.S.W. Minister for Education and Youth Affairs as

" .. designed to improve educational standards in our schools and improve educational opportunities for each student (*Excellence and Equity*, November, 1989, p. 5).

The Minister adds that

"The Government's overall goal is to provide all young people in New South Wales with a broad and balanced high quality, contemporary school education relevant both to their individual development and fulfilment and to the social and economic challenges facing Australia...

"Essential elements of the Government's reform (relevant to curriculum and credentialling) ... are ...

- * a rigorous and balanced contemporary curriculum focused around a major core of essential learning areas; (and)
- * fair, publicly credible systems of assessment, examination, certification and credentialling which promote equity and excellence..." (*Excellence and Equity*, November, 1989, p. 6)

Whereas the N.S.W. curriculum and credentialling component of the larger educational reform relates to all students in both government and non-government schools, other

components of reform, not studied in the present research, relate specifically to improving the quality of management, and improving the design of the structure of the N.S.W. Department of School Education, the government school system.

These N.S.W. education reforms parallel developments occurring world-wide through the development of policies for higher quality, more efficient and more relevant school level education. For example, Fuhrman, Clune and Elmore (1991) describe educational reforms which have occurred in the U.S.A. during the 1980's; and Furlong (1988) and the Department of Education and Science (1985) provide descriptions of changes in Britain.

The N.S.W. curriculum and credentialling reform policy, initially formulated in the period from March, 1988 to June, 1990, and subsequently evolved over the period of the study, is described in three documents. These are the *Report of the Committee of Review of New South Wales Schools* (September, 1989) (Chaired by Sir John Carrick and referred to in this study the *Carrick Report*), the recommendations of which were largely accepted as policy by state cabinet in 1989; *Excellence and Equity* (November, 1989), a policy document of the N.S.W. Ministry of Education and Youth Affairs; and the *N.S.W. Education Reform Act* (1990). Thus, the policy contains statutory and non-statutory elements relevant to the present study: *curriculum reform*, *credentialling reform* and *development of an implementation organization*. These elements focus on the content, structure and quality of the curriculum and credentials; and on the controls employed over them. Each of these elements will now be examined briefly.

Curriculum Reform. The statutory and non-statutory areas of the reform policy entail a significant shift in the focus of the curriculum in school level education in N.S.W. First, although the concept of *subjects* is retained, there is a change from the traditional structuring of the curriculum into subjects areas to a focus on Key Learning Areas (K.L.A.s) (*N.S.W. Education Reform Act*, 1990, Part 3, Paras 7-12; *Excellence and Equity*, November, 1989, pp. 14-18; *Carrick Report*, September, 1989, pp. 153f).

"The use of learning areas allows subjects to be grouped conveniently according to similarities of branch of knowledge, aims, philosophy or methodology. Each learning area is relatively discrete although the allocation of subjects can sometimes be quite arbitrary" (*Carrick Report*, September, 1989, p. 153).

Table 1.1 contains the K.L.A.s identified in the policy. This approach not only structures the curriculum comprehensively into relatively discrete components, but also permits the identification of the essential and mandatory areas for learning including internal alternatives in each K.L.A.

Second, the curriculum reform identifies the *minimum* curriculum requirements for all students in the compulsory years of education, that is, ages six to 15, according to K.L.As. (*N.S.W. Education Reform Act*, 1990, Part 3, Paras 7-10). These minimum requirements are that all of the six K.L.As. for primary (Years K-6) education must be experienced substantially each year by each student but with a greater emphasis on *English* and *Mathematics*; and at least six of the eight, including *English*, *Mathematics*, *Science* and *Human Society and Its Environment*, must be experienced each year in secondary education until the student reaches the age of 15 years, the minimum school

leaving age. In meeting *minimum* curriculum requirements, *flexibility* is provided through one or more of three options: using Board of Studies syllabuses; using syllabuses endorsed by the Board of Studies; or using the minimum curriculum guidelines developed by the Board of Studies (*N.S.W. Education Reform Act*, 1990. Part 3, Paras 8 and 10). Consequently, schools or school systems, or parents in home schools, can identify and use the most appropriate approach consistent with the values, attitudes, beliefs or experiences of the school. An important provision is that there are also considerable opportunities for schools to develop and implement other curriculum areas beyond those which are mandated.

Table 1.1 Key learning areas for students kindergarten to year 12 in N.S.W.
(Source: Adapted from *N.S.W. Education Reform Act*, 1990, Part 3, Paras 7 and 9.)

Kindergarten to Year 6 (Primary) Curriculum	Year 7 to Year 12 (Secondary) Curriculum
English	English
Mathematics	Mathematics
Science and Technology	Science
Human Society and Its Environment	Human Society and Its Environment
Creative and Practical Arts	Technological and Applied Studies
Personal Development, Health and Physical Education	Languages Other Than English
	Creative Arts
	Personal Development, Health and Physical Education

Third, there is a requirement for the revision of existing or the development of new syllabuses within K.L.As. (*N.S.W. Education Reform Act*, 1990, Para 102 (2) (a); *Excellence and Equity*, November, 1989, pp. 17f). These developments aim to address what are perceived as deficiencies in the existing primary and secondary curriculum and to consolidate the diversity of approaches evident in existing syllabuses. In primary education, these are designed to provide for single syllabuses to meet all of the requirements in each K.L.A. mandated by the Board of Studies, N.S.W. In primary and secondary education, there are expectations that areas not adequately catered for in the past will be addressed through the inclusion of new knowledge or new perspectives, such as, *computer technology, design and personal development* (*Excellence and Equity*, November, 1989, pp. 57f; *Carrick Report*, September, 1989, pp. 159-162, and 257-269; and Recommendations 9.10.23, 9.10.24, 13.8.3.3). Furthermore, certain syllabuses in the secondary curriculum, such as, *Home Science*, have been targeted for removal because they have been found to perpetuate certain inequalities among students (*Excellence and Equity*, November, 1989, pp. 57f and 62f).

Fourth, in contrast with the traditional separation of the primary and the secondary curricula, there is a requirement to revise all syllabuses according to a principle of a K-12 continuum (*Excellence and Equity*, November, 1989, p. 18; *Carrick Report*, September, 1989, pp. 155f, and Recommendation 9.10.15). The intended result is that, though separate syllabuses may be developed for primary and secondary education, they will be interdependent and interrelated as a continuum using the same model and approach.

Fifth, there is a requirement to frame syllabuses into *stages* and related subject *outcomes* (*N.S.W. Education Reform Act*, 1990, Part 3, Para 14 (3)). *Outcomes* are the

"... intended results of teaching and learning expressed as a set of broad, comprehensive, assessable and observable indicators or benchmarks of student achievement at each stage of a course" (Board of Studies, N.S.W. 1991. *Curriculum Outcomes*, p. 5).

This requirement necessitates the rewriting or redesigning of syllabuses to include stages and outcomes.

It should be noted that the concept of syllabus *outcomes* applying within the N.S.W. curriculum and credentialling reform policy appears to be different from the use of the term in some school systems elsewhere in Australia and in the U.S.A. These latter tend to use the term to refer to the longer term, *exit behaviours* (Brandt, 1992/1993; Mamary, 1991; Vickery, 1985; 1988; 1990). The concept of syllabus outcomes appears to be more closely aligned with the concepts of *content standards*, described for subjects in *CPRE Policy Briefs* (RB-10-10/93) and emerging as a significant movement in the early 1990's in the U.S.A.

Finally, there is a focus on *individual progression* in the curriculum in contrast to traditional *year cohort progression* (*Carrick Report*, September, 1989, pp. 43f and 249f, and Recommendation 3.3.4). Under such a provision, a student can progress through the different stages of each syllabus according to the demonstration of related syllabus *outcomes* but there is no particular *level* of achievement required for progression to the next stage. Consequently, it is possible for very talented or gifted students to complete

the curriculum requirements of a particular stage of school level education ahead of their respective age cohorts, including the option for very able students in the senior years of schooling to undertake a post secondary level stage course similar in scope to courses in tertiary education. There is also the possibility of students taking longer to complete school level education but this has not been included in the policy because of a convention in N.S.W. school level education of age cohort progression for students capable of demonstrating only low levels of achievement.

Credentialling Reform. Credentialling reform relates to the two statutory credentials in school level education in N.S.W.: the School Certificate (S.C.) and the Higher School Certificate (H.S.C.). The former is an award for meeting certain requirements over four years of secondary education; and the latter is an award for meeting certain requirements over a further two years. There are a number of important features of the credentialling reform.

First, the curriculum requirements for both credentials have been altered to K.L.As. instead of subjects (*N.S.W. Education Reform Act*, 1990, Paras 11-12; *Excellence and Equity*, November, 1989, pp. 28-31). For example, the study of courses from all eight K.L.As. is required to gain a School Certificate from Year 7, 1996, with an interim requirement of seven K.L.As. from 1992. These K.L.A. studies constitute a new core inclusive of all the areas recognized as significant for secondary school age students.

Second, the prescription of hours of study, which has long characterized study for credentials, has been replaced by *outcomes* (*N.S.W. Education Reform Act*, 1990, Part 3,

Para 14 (4); *Excellence and Equity*, November, 1989, p. 14). This is a shift in a preoccupation with *time* and *attendance* to *achievements*.

Third, there is provision for more flexibility to students who seek the H.S.C. (*N.S.W. Education Reform Act*, 1990. Part 8, Paras 95-98; *Carrick Report*, September, 1989, p. 49f and Recommendation 3.3.12). This is to be achieved by establishing a number of alternative structures for completing the H.S.C. program. For example, previously, a two year full-time program was mandatory for school students while adults could complete the program intensively over one year at a College of Technical and Further Education (T.A.F.E.). The credentialling reforms have introduced the option of undertaking the H.S.C. on a part-time basis and accumulating courses, or studying it intensively, or accelerating if a student is talented.

Finally, the credentialling reform includes provision for a greater range of student abilities (*Excellence and Equity*, November, 1989, pp. 76-78; *Carrick Report*, September, 1989, pp 49f and Recommendation 3.3.1). For example, the provision for accumulation of the H.S.C. courses allows students unable to undertake the two year program, to take longer to gain the credential or to combine study for the H.S.C. with another commitment, such as, work. There is also the continuation of the provision for alternative credentials at the School Certificate and Higher School Certificate levels for students whose ability does not allow them to meet the mandated curriculum requirements related to those credentials (*N.S.W. Education Reform Act*, 1990, Part 8, Para 98 (6); *Excellence and Equity*, November, 1989, pp. 25f; *Carrick Report*, September, 1989, pp. 230f; Recommendation 10.7.13).

Establishment of A New State Curriculum and Credentialling Authority.

The curriculum and credentialling reform policy described briefly above has also entailed the establishment of a new state authority, the Board of Studies, N.S.W., formed through requirements of the *N.S.W. Education Reform Act* (1990) (Part 9, Paras 99-106; and Schedule 1, Paras 1-18). The formal functions of the Board of Studies, N.S.W., are given in Appendix A1.

The Board has significant roles and responsibilities in providing a structure and guidelines for schools and school systems in the implementation of the reform policy. First, it is a *statutory* authority. The functions are prescribed by legislation following parliamentary debate rather than by *administrative notices* of the responsible Minister or Cabinet which apply to state Departments, such as, the N.S.W. Department of School Education, the government school system. Thus, the formal powers and responsibilities of the Board are described in, and limited by, legislation. Changes require amendments to legislation.

Second, it is the *state curriculum and credentialling authority* in school level education (*N.S.W. Education Reform Act*, 1990, Para 102 (1) and (2); *Carrick Report*, September, 1989, pp. 139-149). On one hand, it replaces the Board of Secondary Education, an earlier credentialling authority which also designed the curriculum for credentials in school level education (*N.S.W. Education and Public Instruction Act*, 1987). On the other hand, it has gained the responsibility for the development of state primary syllabuses. Previously, these had been developed, without the involvement of non-government schools, as *systemic* syllabuses by the N.S.W. Department of School

Education for use in government primary schools although non-government schools frequently used them voluntarily.

Third, it is an *independent* authority (*N.S.W. Education Reform Act*, 1990, Paras 98-107; *Carrick Report*, September, 1989, p. 143). The *independence* is from the government school system, the N.S.W. Department of School Education, whose corporate mission promotes government schools exclusively. Table 1.2 presents information on the number of government and non-government schools in N.S.W. between 1990 and 1992. Earlier credentialling boards in secondary education, although ostensibly independent and serving all secondary schools, were serviced by the government school system which promoted the corporate policies of the N.S.W. Department of School Education as well as the policies of the credentialling authority. Anomalies evident in this approach have been addressed in the requirement that the Board of Studies, N.S.W., be independent of the N.S.W. Department of School Education. Consequently, it has its own public sector support staff (*N.S.W. Education Reform Act*, 1990, Part 9, Para 104) and legislated and financial authority to make and enforce its decisions and the curriculum and credentialling reform policy. For example, curriculum and credentialling staff are recruited through open advertisement and may include staff whose employment experience has been in the private sector, including non-government schools and school systems, or in the public sector.

Fourth, the Board has a *representative membership* (*N.S.W. Education Reform Act*, 1990, Part 9, Para 100; *Carrick Report*, September, 1989, Recommendation 8.4.3). This is described in Appendix A2. The members are drawn from both government and non-

Table 1.2 Number of government and non-government schools, teachers and students in N.S.W. from 1990 to 1992 (Source: Australian Bureau of Statistics. 1993. *New South Wales Yearbook, 1994, No.4.* Australian Government Publishing Service: Canberra, p. 78)

Category	Year		
	1990	1991	1992
Schools in N.S.W.			
Government	2,181	2,176	2,180
Non-government	850	857	857
Total	3,031	3,033	3,037
School Students in N.S.W.			
Government Schools	743,186	746,417	756,852
Non-government Schools	287,437	290,896	293,376
Total	1,030,623	1,037,313	1,050,228
Teachers			
Government	45,620	45,631	45,942
Non-government	17,691	18,062	18,427
Total	63,311	63,693	64,369

government schools, government and non-government school systems, government and non-government teacher unions, government and non-government parent groups, universities, the Technical and Further Education system and community groups, including Aboriginal and non-English speaking background groups, and business. The representativeness is also to occur in Board committees, including those used in syllabus development. There are other significant differences between the Board of Studies and

previous authorities: previous authorities contained members who were in executive, public sector staff positions of the N.S.W. Department of School Education; and they had much less representative memberships.

Fifth, the Board has a function of making recommendations to the Minister on the *registration of non-government schools* (*N.S.W. Education Reform Act*, 1990, Part 9, Para 102 (2) (a) and (b)). This function includes ensuring that these schools meet curriculum requirements and that non-government secondary schools also meet all credentialling requirements through an accreditation process for which the Board has statutory responsibility. It is important to note that the recommendation of the *Carrick Report* (September, 1989) that the Board be responsible for the registration and accreditation of government schools was removed from the draft *N.S.W. Education Reform Bill* because of rejection of the concept by the opposition parties in state parliament. The supervisory function in government schools is limited to the statutory responsibility of *monitoring* the implementation of Board policies and procedures (*N.S.W. Education Reform Act*, 1990, Para 102 (2) (n)).

Finally, the Board, as the state credentialling authority in school level education, has the statutory responsibility for developing the details of requirements, rules and procedures for the two state school level credentials. This includes the design and the operation of the examination system, and the provision of the related syllabuses, regulations and procedures (*N.S.W. Education Reform Act*, 1990, Part 9, Para 102 (a), (e), (i) and (j)).

Paradox of the Reform Policy

The N.S.W. curriculum and credentialling reform policy has emerged in a political context characterized by a paradox. The policy maintains what appears to be strong *central* control of curriculum and credentialling in school level education and in the administration of the policy by the government organization responsible. Yet the criticism of the "... overly centralised and inefficient management structures of the Department of (School) Education ..." (*Excellence and Equity*, November, 1989, p.6) by Minister for Education and Youth Affairs had been a significant reason for other components of the education reform. This highlights the complexity of the control and power dimensions of the larger education reform package. On one hand, there is a commitment to reform the large, centralized, hierarchically structured government school system and transfer more authority and power to the local level. On the other hand, there is the perceived need to improve the quality of the curriculum and school level credentials by *central* control through state syllabuses and state credentials designed and developed and maintained by consensus by a small, representative organization responsible directly to the Minister.

The *centralist* tendency in the organization of education in N.S.W. has been described by Sturman (1989) and Walker (1970, 1973, 1978) as being one of the historically distinctive characteristics of the government school system and mirrors the earlier judgements made by Kandel (1938) and Butts (1955) and more recently by McKinnon (1991) of the tendency for *central* management of school level education in Australia, generally. This approach is in contrast to the emerging decentralization of government administration in N.S.W. which has followed from recommendations of a number of

reports over the previous 15 years (Andrews, 1980; Wilenski, 1977, 1982) and the implementation of these recommendations in state government organizations. This supports the assertion of Naisbutt (1982) of a global shift towards *decentralization* because of the growing complexity of large organizations which will not allow relatively quick, sensitive and relevant decisions to occur.

Of particular significance, as indicated above, is that the government school system operated by the N.S.W. Department of School Education, has experienced organizational restructuring away from central decision making and control (Scott, 1989, 1990) over the period of the study of the Board of Studies as a new central authority. The restructuring of the management of the Department has resulted in a shift in management positions from a central, head office location to geographically decentralized regions and, ostensibly, an increase in organizational authority and responsibilities of regional managers. There is further *structural decentralization* within the government school system with more emphasis on school-based decision making and a new hierarchically lower level management level called *cluster directors* which supervise groups of government schools. Effectively, these decentralization trends have been evident in the government school system for over 40 years since the establishment of the first regions in the 1940's and emerging emphasis on regionalization of decision making (N.S.W. Ministry of Education and Youth Affairs, 1973).

Of strong contrast is the approach to organization and management of non-government schools and school systems, especially, the Catholic education systems, which account for approximately 25 per cent of all schools in N.S.W. Non-government school

principals have tended to make the types of decisions traditionally made by higher level managers in the government school system.

An equally significant aspect of the education reform relates to the levels of curriculum and credentialling decision making. During the period of the study from June, 1990 to December, 1992, this is evident in the contrast between the structurally *devolved* approach of the N.S.W. Department of School Education which has promoted decision making and related responsibilities in hierarchically low positions, and the structurally *centralist* approach of the independent Board of Studies. On one hand, curriculum and credentialling decisions are made *centrally*. On the other hand, the final implementation appears to be *decentralized*, not only for the government school system, but also for the non-government schools and school systems.

Nevertheless, the differences between the *decentralized* approach of the Department which manages government schools, and the *central* approach of the Board which serves all schools and all school level students, appear to mask relatively hidden attributes. First, the principle of *devolution* advocated by Scott (1989) for, and implemented within, the N.S.W. Department of School Education from 1990, does not necessarily mean that the source and location of, and the authority for, decision making is *devolved*. There are various forms of *decentralization* including *decentralization of authority* in decision making (Brooke, 1984; Bumbarger, 1974; De Greene, 1982; Swanson, 1987) and *structural decentralization* covering *function* and *location* (Kochen and Deutsch, 1973). *Decentralization* is geographical and structurally downward in the Department's management hierarchy. Significantly, because of lack of data at this stage, it is not

possible to determine the degree to which the decisions are made by genuine consensus or are made autocratically by individuals holding lower level management positions.

Second, the *central* role of the Board of Studies in curriculum and credentialling decision making in school level education but using representatives and wide spread consultation can be interpreted as a form of *decentralization*. Although there has been an emerging practice of school based decision making in the implementation of syllabuses and credentialling requirements, there has been a strong central tradition of syllabus development, formulation of the curriculum for both primary and secondary schools, and of the development and administration of credentialling requirements.

Furthermore, previous state curriculum and credentialling decision making has been strongly influenced by the N.S.W. Department of School Education. For example, state primary materials, including syllabuses, tended to be developed exclusively by representatives of government schools and government school communities within the N.S.W. Department of School Education. Non-government schools were not involved. In secondary education, non-government schools were represented in both credentialling and related curriculum decision making but, because of government school policy, have not tended to be involved with government schools in the development of support materials for syllabuses. Although non-government schools and school systems have frequently developed their own support materials, it appears that they have largely relied on those used by the government school system.

There was also relatively little representation of the range of groups with interests in

school level education in previous curriculum and credentialling decision making. However, as indicated in Appendix A2 and briefly described above, the Board of Studies has a more comprehensive membership. Consequently, while the Board ostensibly plays a *central* role, it operates through *consensus* decision making among representative members and the practices of providing opportunities for all individuals and groups to indicate their perceptions as feedback on proposals in curriculum and credentialling¹. Such decisions meet the perceived needs for a statewide, across schools and school systems minimum curriculum and state standards for the award of school level credentials. Thus, it can be argued that the apparent paradox of a central curriculum and credentialling authority in an emerging decentralized state infrastructure is a reflection of tradition and continues political and community demands for a common curriculum and syllabuses for schools and state standards in credentials which are developed through *consultation* and *consensus* (*Carrick Report*, September, 1989, pp. 156-158, 171-175; *Excellence and Equity*, November, 1989, pp. 5-13).

Reforms and Implementation Planning

The overview given above has described the curriculum and credentialling reform policy and the character of the state authority responsible for developing detailed guidelines, procedures and support materials as an intermediary linking the intentions of the policy

¹Examples of the processes by which the Board of Studies has attempted to gain a consensus are given in sections on *consultation* contained in the Board's Annual Reports to the Minister for Education and Youth Affairs (Board of Studies, N.S.W. 1991. *Annual Report, 1991*. Board of Studies, N.S.W.: North Sydney, pp. 32-33; Board of Studies, N.S.W. 1992. *Annual Report, 1992*. Board of Studies, N.S.W.: North Sydney, pp. iv (President's Foreword), 40-41; and Board of Studies, N.S.W. 1993. *Annual Report, 1993*. Board of Studies, N.S.W.: North Sydney, pp. vii (President's Foreword), 23, 30).

The President of the Board in an *Address to Liaison Officers*, 14 June, 1990, also referred to the need to gain consensus on major decisions and indicated that this ideal would be the significant principle pursued in Board of Studies decision making both internally within the organization and externally with clients.

and the schools and school systems which finally implement the reform. It is therefore important to recognize the role of the Board of Studies in this process as being limited to the converting of the policy as intentions into a more specific, operationally useable framework of syllabuses and support materials, rules and procedures. It is assumed that such provisions necessitate *planning*.

Present Study in Outline

The present report of the case study of the planning of the implementation of curriculum and credentialling reform policy by the Board of Studies, N.S.W., is structured into a further six chapters with supporting appendices and a list of references.

Chapter 2 develops a conceptual framework for the study of the planning of the implementation of public policy and identifying areas for research. This is done by identifying and analysing related concepts and processes from a number of different theoretical perspectives on public policy implementation, public policy implementation planning and related organizational decision making. This analysis is structured into four main sections. First, there is a focus on the *nature of public policy* in which related definitions of public policy, sources of public policy, types of public policy and links between public policy, implementation and planning, are considered. Critical in this section is the development of an operational definition of the specific curriculum and credentialling reform policy by comparing the character of the N.S.W. reform policy with a range of previously used definitions and recognizing relatively unique attributes. Differences between *rational* and *interactive* perspectives are introduced in this section resulting in the recognition of different ways of perceiving implementation of public

policy.

Second, there is consideration of the *nature of planning* in the implementation process. Following a development of a definition of planning, there is a classification of plans and an analysis of *rational* and *interactive* perspectives on planning, including the recognition of theoretically plausible alternatives of *static* or *evolutionary* planning processes.

Third, planning, public policy and implementation are brought together through an *analysis of the processes* undertaken in public organizations and the development of two alternative implementation planning models. This entails a focus on a *systems* approach to the planning of implementation of public policy, including establishing the significance of factors influencing implementation planning, and the context in which implementation occurs.

Finally, the implications of the conceptual framework for the present study are recognized. This is done by identifying *essential operational considerations* which subsequently serve to structure the areas of research recognized into three broad questions each related to a number of specific research questions. There is also recognition that certain *gaps in related theory and prior research* can also be addressed through the research.

Chapter 3 explains the design of the case study approach to a study of public policy implementation planning using the research questions developed in Chapter 2. The

approach is *multiperspectivist* encompassing methodological and theory *triangulation* (Denzin, 1978) which recognizes the strengths of using a range of different independent measures of the same phenomena. The term *qualitative measures* is used operationally to mean the degree to which particular phenomena occur, or are perceived to occur, on a non-numerical scale. In the present study, this *multiperspectivism* also accepts the value of two different epistemological traditions as complementary: *logical-positivist* which focuses on the discovery of positive support to research enquiry under assumption of the relationship of phenomena through *natural laws* or *general principles*; and *non logical-positivist* which focuses on evidence gained from human perception of phenomena, whether or not actually, or perceived to be, related through *natural laws* or *general principles*. Furthermore, it examines *qualitative* and *quantitative* traditions of measurement but concludes in favour of qualitative measurement for the present study.

The *case study* approach is recognized as the most appropriate design for the type of research questions posed. The questions are operationalized further in the development of data collection instruments.

Three data collection *instruments* are used. These are *document analysis*, *interviews* and *modified participant observation*. Individually, these give informative insights into the implementation plans and processes and factors influencing them. Collectively, the use of these instruments aims to provide a relatively comprehensive overview of the planning of the implementation of curriculum and credentialling reform policy by the Board of Studies, N.S.W.

The analysis of the data involves *four* stages. These are *data reduction*; *structuring and restructuring* of the data from each instrument into visual and conceptual patterns; *matching the patterns across techniques*; and *comparing patterns* with theory and prior research findings.

The chapter concludes with the recognition of the *limitations* of the study. These are *conceptual* and *methodological*.

Chapters 4, 5 and 6 present the findings for each of the respective broad, and the related specific research questions. The chapter formats are similar. They each present a description of the contributions of each instrument in answering the questions and then provide detailed answer to the related specific questions. These chapters are supported by details of findings given as Appendices. Chapter 4 presents and discusses the findings on the *characteristics of implementation plans* developed by the Board; Chapter 5 presents and discusses the findings on the *implementation planning process*; and Chapter 6 presents and discusses the findings on the *factors influencing the plans and processes*.

Chapter 7 is the conclusion. It restates the findings and then discusses these in the context of theory leading to the development of a model of the planning of the implementation of public policy. The model includes the dimensions discussed in Chapter 2 with a particular focus on *rational* and *interactive* paradigms. A following section reflects on the design of the research and the usefulness of the *systems* approach, and on the two epistemological traditions. Consequently, these developments are used to

indicate a developing theory of implementation planning.

The chapter ends with three sets of recommendations for further research. These are in the general area of implementation of public policy; curriculum and credentialling policy specifically; and epistemological and methodological choice in conducting public policy implementation planning research.

CHAPTER 2 A CONCEPTUAL FRAMEWORK FOR THE STUDY OF THE PLANNING OF THE IMPLEMENTATION OF PUBLIC POLICY

Overview

In this chapter, a conceptual framework is developed for the present study of the planning of the implementation of the specific curriculum and credentialling policy described in the *N.S.W. Education Reform Act* (1990) and related documents. This entails three main sets of analyses. The first is the *nature of public policy* which focuses on characteristics of *what* is being implemented; the second is the *nature of planning* which focuses on planning as a link between public policy formulation and implementation; and the third focuses on the *nature of processes in public organizations* which bring together public policy, implementation and planning. For these analyses, key assumptions and key operational definitions are made and research questions are posed for the present study. In the final section of the chapter, the research questions are analysed and certain theoretical implications for the present study of the three sets of the analyses are restated as *broad* and related *specific* research questions.

On the Nature of Public Policy

In developing a conceptual framework for the present study, it is necessary to examine the *nature of public policy*. This is essential because of the widely differing operational uses of the term *public policy* and the differences in the operational characteristics of

public policy in both research and in less formal contexts, including the ten definitions identified by Hogwood and Gunn (1984) described below. Furthermore, as defining a term also establishes an *operational concept* which is the meaning employed in a particular research application, it is essential to specify the particular use of the term in the present research context.

Campbell (1988b) has noted a potential dilemma in defining a term operationally, namely, that a definition can be perceived as a limitation to theory. According to Campbell (1988b, p. 31f), a definition abbreviates features of a theory because " ... a term cannot adequately be defined to represent the theory". This limitation is referred to as *definitional operationalism*.

"Our 'operationalism' will always be incomplete, and it is always a logical possibility, and usually a practical possibility, that some features we fail to specify will eventually turn out to be crucial to the results obtained" (Campbell, 1988b, p. 31).

Operational definitions, therefore, could lead to the omission of significant aspects or dimensions of theory. Keeping this dilemma in mind, particular dimensions for analysis in developing a conceptual framework are now identified. These are the *definition* and the *sources* of public policy; *perspectives* on public policy *formulation* and *links* with implementation; *types* of public policy; concept of public policy implementation as distinct from policy formulation; public policy implementation; and *planning* in the implementation process.

Definition of Public Policy. *Public policy* is a term which is relatively difficult to define unambiguously (Davis, Wanna, Warhurst, and Weller, 1993, p. 7f). This appears to be a result more of the differing definitions of *policy* than of *public*. There are a number of classifications of definitions which attempt to bring together the various applications of the term frequently used in specific contexts. For example, Edwards and Sharkansky (1978, p. 2) indicate that public policy

" ... is what government's say and do, or do not do. It is the goals and purposes of government programs...

"(It) is also the important ingredients of programs...

"(It) may either be stated explicitly in law or in speeches ... or implied in programs and actions ..."

The classification by Hogwood and Gunn (1984, pp. 13-24) and Hogwood (1987, pp. 1-9) is preferred here as it contains a range of diverse definitions. These are summarized and adapted to a N.S.W. context in Table 2.1. It is important to note the warning of Hogwood and Gunn (1984) that the definitions are not mutually exclusive and that most *real life* public policies are not adequately described by any single definition.

It is apparent from these ten definitions that an essential difference is the *context*. Thus, in specifying a particular *operational* definition of *public policy*, the context is critical and must be clearly established as indicated in studies by Kirst and Jung (1991), Odden (1991a) and Wohlsletter (1991). In the present study, the public policy being considered has several contextual attributes. By examining these more closely, it may be possible to match the *policy* to at least one of the definitions thereby establishing a contextual

definition compatible with past applications.

Table 2.1 Classification of the uses of the term *policy* (after Hogwood and Gunn (1984)) with examples

USE	DESCRIPTION	EXAMPLES
A Label for a Field of Government Activity and Involvement	A general area of government sovereignty, not necessarily activated as yet	Education Policy
An Expression of General Purpose or a Desired State of Affairs	A focus on general intention or goals	Aiming to have a society with full employment; Aiming to have a society with 100 per cent literacy
Specific Proposals	A focus on specific intentions	Statement in the N.S.W. Liberal-National Party <i>Platform</i> documents on education prior to the 1988 N.S.W. state election that a new executive position of <i>leading teacher</i> would be established in government secondary schools
Decisions of Government	The actual decision	To accept the recommendations of the N.S.W. <i>Carrick Report</i> in 1989
Formal Authorization	Requirement or permission for an activity to take place, such as through the passage of legislation	<i>N.S.W. Education Reform Act</i> (1990)
A Program	A particular package of legislation, organization and resources	The N.S.W. Higher School Certificate Program
An Output	What the government actually delivers	Enforcement of Child Protection legislation through schools; Enforcement of compulsory school attendance.
An Outcome	What is actually achieved or the impact of outputs	The level of female participation in Higher School Certificate Mathematics courses
A Theory or Model	A cause and effect relationship of government action and other less direct outcomes	By encouraging higher participation in the N.S.W. Higher School Certificate Program, students will be better prepared to enter work in an increasingly dynamic and difficult environment
A Process	A sequence of government decisions and other related actions	State Government Curriculum Reform in N.S.W. from 1988 to 1992

The particular N.S.W. curriculum and credentialling reform policy relevant to the present study has three main sets of contextual attributes. These attributes are that the policy is, first, a collection of consistent and complementary expectations for curriculum and credentialling from the N.S.W. Minister for Education and Youth Affairs and the state Cabinet manifested in a white paper (*Excellence and Equity*, November, 1989); second, the policy also reflects requirements of legislation for curriculum and credentialling in school level education in the state of N.S.W. (*N.S.W. Education Reform Act*, 1990; and the *N.S.W. Education and Public Instruction Act*, 1987); and third, the policy is a reflection of broader educational concerns given as recommendations of reports commissioned by the N.S.W. state government and accepted by Cabinet (*Discussion Paper on the Curriculum in N.S.W. Schools*, November, 1988; and the *Carrick Report*, September, 1989). Consequently, the policy has contextual characteristics which match certain of the definitions included by Hogwood and Gunn (1984).

Specifically, the public policy appears to be compatible with seven of the definitions of Hogwood and Gunn (1984) given in Table 2.1. These are that it encompasses *decisions of government* (to accept the recommendations of the *Carrick Report* (September, 1989)); *formal authorization* (*N.S.W. Education Reform Act*, 1990); *a program* (programs leading to the award of the N.S.W. School Certificate and the N.S.W. Higher School Certificate, which are discussed further below); *an output* (enforcement of provisions of the *N.S.W. Education Reform Act* (1990), such as the *registration requirements for home schooling*); *an outcome* (the involvement of all major stakeholder groups in school level education in decision making on the curriculum and

credentialling by establishing the Board of Studies, N.S.W.); *a theory or model* (changing the curriculum and provisions for school level credentials so that children will be better prepared for life after school); and *a process* (sequence of government decisions from 1988 to 1990 design and to reform credentialling and the curriculum for N.S.W. children). These definitions also appear to reflect the contextual attributes described earlier.

The three discarded definitions, namely, *a label for a field of activity*, *an expression of general purpose or desired state of affairs*, or *specific proposals*, relate either to *promises* or *anticipations*, or to *generic fields of potential action*, and are not evident in the policies on curriculum and credentialling which come from legislation and from Cabinet decisions in N.S.W.

The identification of the breadth of relevant definitions above highlights a number of important issues for the present study. First, the N.S.W. policies, are distinct from promises, anticipations or generic fields of potential activity, and theoretically *can* be implemented. They have the support of the state legislature and of the New South Wales state coalition in government and together this support provides a form of *legitimacy* with an expectation that implementation will occur.

Second, the policies are in *written* form and are public documents. They are therefore accessible for examination and for comment and can be referred to and used in the implementation planning processes.

Third, as demonstrated by the *Carrick Report* (September, 1989), the *hard* policies and the earlier related draft propositions have been subjected to a relatively long period of debate both inside and outside of parliament involving a wide range of inputs from many groups and individuals. Thus, many of the underlying philosophical and practical *implications* have been the subject of *consensus*.

Fourth, retaining such a diversity of definitions assumes that any explanation of the concept of *public policy* is relatively complex. This is more than the meaning of *public policy* being cumbersome to express as it also implies a conceptually *elusive* term. But it is possible to address this issue by identifying any common elements in all seven definitions. While other common elements are presented below, one such element evident is that there each definition implies *expectations for change*. For the purposes of this research then, the first key definition can be made.

Key Operational Definition 1. : The 1990 N.S.W. curriculum and credentialling reform policy contained within the Carrick Report (September, 1989), Excellence and Equity (November, 1989), and the N.S.W. Education Reform Act (1990), is the formal set of expectations of the N.S.W. state government for the curriculum and credentialling experiences of school age children in N.S.W.

Sources of Public Policy. Having established a contextual definition of *public policy*, the focus now turns to *sources* of public policy. The consideration of these sources can be perceived as important because they clarify, not only the nature of the expectations of the government, including the *legitimacy* of expectations, for the agency

or agencies with implementation responsibility, but also the *magnitude* of such expectations.

A number of assumptions can be made about the sources of public policy in a political system modelled along the lines of a parliamentary democracy, such as, that occurring in New South Wales. The sources are assumed to be predominantly the *functional* and *dysfunctional* sub-systems of government. Each of these is discussed below.

Functional Sources of Public Policy. The functional sub-systems of government are the *legislature*, *executive* and *judiciary* and have been recognized as the main sources of government policy (Baum, 1980; Birch, 1982; Birkby, 1983; Hogwood and Gunn, 1984; Lindblom, 1965).

The *legislative function* of government in parliamentary democracies entails the process of making statutes or laws in parliament by majority decision. *Legislation* is encompassed by the definition of *public policy* identified by Hogwood and Gunn (1984, p. 16) as *formal authorization*. Hogwood (1987, p. 5f) also indicates that *legislation* is a form of *legitimation*. Statutes tend to reflect existing policies as intentions or promises of the majority party and serve as *normative* frames for action by public organizations and as a model against which behaviour of public organizations is judged internally by political members of government and public employees, and externally by the clients of government.

Theoretically, *legislation* is a significant, though not exclusive, source of public policy

(Winter, 1990) and a major influence on policy implementation (Wohlsletter, 1991) and on implementation planning. It indicates formal or implied expectations for implementation behaviour, both in broad and specific terms, and thus needs to be examined for the extent to which it contributes to those influences which are perceived as affecting implementation planning. In the present study, this necessitates a focus on the public policy encompassed in the *N.S.W. Education Reform Act* (1990). This has already been described in Chapter 1.

The *executive function* of government is carried out by public organizations. This process has been discussed by Aberbach, Putnam and Rockman (1981), Hogwood (1987), and Lindblom (1965). In a political system, such as that existing in N.S.W., each of these organizations is managed by a senior public official responsible for the implementation of legislation and related policies to an elected member of the government in office. In Australia, this political head of each government agency is frequently a Minister who is responsible to the cabinet of Ministers which is the main policy making body of the elected government. Thus, the implementation of public policy can also be influenced directly by cabinet through the minister responsible.

It is the public organizations which have the responsibility for the planning of the implementation of public policies and which also develop implementation policies and strategies. Because of the degree to which legislation can differ in regard to explicit statement of requirements, these implementation organizations tend to develop practices which translate and interpret legislation and policy but usually, though not exclusively under the guidance of the political head. For example, in N.S.W., the Board of Studies

is under the direct ministerial supervision of the N.S.W. Minister for Education and Youth Affairs. This is discussed further below.

A number of authors, such as, Aberbach, Putnam and Rockman (1981), Barrett and Fudge (1981b), Hogwood and Gunn (1984), Rein (1983) and Steinle (1982), have discussed the role of the executive branch of government, especially the non-elected public officials, in influencing policy formulation. For example, Aberbach, Putnam and Rockman (1981) in a study of over 1400 senior bureaucrats and members of parliament in the U.S.A., U.K., France, Italy, Sweden and the Netherlands, found that while bureaucrats implement policy, they are becoming increasingly involved in formulating policy, brokering interests, and articulating ideas.

"... it is clear - both from our own evidence and from case studies by other observers of the policy process - that the classic theories that excluded bureaucrats from any role in creating policy no longer fit reality, if they ever did."
(Aberbach, Putnam and Rockman, 1981, p. 239).

The *judicial function* of government in parliamentary democracies is carried out through the hierarchical system of courts. This function, as a source of public policy, has been explained by Lindblom (1965, p. 4), and is described by Birkby (1983) below.

"The power of the courts to make policy is inherent in the judicial function. Courts have not usurped the power from some other part of government; it is theirs by necessity. The only way to oust the courts from their participation in policy making would be for other policy makers (especially legislators) to express their wishes in language specific enough to avoid ambiguity and broad enough to

cover every conceivable contingency" (Birkby, 1983, p. 1).

Because the judiciary also interprets statutes and their implementation, it can provide further guidance or direction for policy implementation. For example, a court could determine whether a student who has been denied a specific credential by bureaucratic decision should still receive the award on the basis of particular circumstances.

*Dysfunctional Sources of Public Policy*². The foregoing overview of the *functional* sources of public policy, which have implications for planning, has been concerned primarily with formal, ostensibly *legitimate* and ostensibly *rational*, aspects of government. However, there are also hypothetically less rational and less formal sources of policy. These include the *hidden* expectations of political members of government, and the interpretations by public officials under the influence of corporate culture of the public organization, such as *beliefs* within the public agency, traditional practices, and individual personalities of bureaucrats. Such influences can distort the meaning of legitimate policy or can provide hidden policies which are *implemented* as well as, or instead of, functionally derived *official* policies. These sources can be distinguished from barriers to implementation such as those identified by Bardach (1977) who has argued that *implementation* is affected by a range of organizational factors. These are discussed further below in the section on implementation and *internal* organizational factors.

²The inclusion of dysfunctional sources of public policy here should also be related to the dual rational-structural-functional and interactive/natural models discussed further below in a Chapter 2 in developing a conceptual framework, in Chapters 4, 5 and 6 which present and discuss the findings and in Chapter 7 which attempts to relate the findings to existing theory. Consequently, *dysfunctional* can imply an aberration from a *rational* perspective but simultaneously convey the concepts of resolution and adaptation from an *interactive/naturalistic* perspective.

Two important operational assumptions coming from the review taken above are now given.

Key Operational Assumption 1. The sources of N.S.W. curriculum and credentialling reform policy can be classified as functional and dysfunctional.

Key Operational Assumption 2. Perceptions held by implementation planners of the expectations of the government can influence the planning of the implementation of public policy.

Perspectives on Public Policy Formation: Links with Implementation. It can be argued that the formation of a particular public policy will tend to influence its implementation (Winter, 1990). This has implications for any related planning process. It is possible to classify the approaches to public policy formation according to the perspectives of the academic discipline or disciplines from which public policy is being considered. In the present study, the perspectives come predominantly from sociology. These have been discussed in works by Abraham (1982) and Filmer, Phillipson, Silverman and Walsh (1972), and also inferred in the public policy formation and implementation described by Winter (1990).

Three different perspectives on the *public policy formation*, each reflecting a conventional sociological perspective applied to public organizations, can be recognized: *rational-structural-functional*, *interactive*, and *conflict*. These will now be considered more fully.

Rational-Structural-Functional Perspective. A *rational-structural-functional* view or interpretation of society, abbreviated here to *rational*, has been frequently taken by a sociologists, such as, Parsons (1951) and Merton (1957) and described by Abraham (1982), Spencer (1971) and Walsh (1972a). It assumes that society and its organizations are structured rationally to accomplished particular and general goals, so that there is a direct *linear* relationship between the goals and societal behaviour undertaken to achieve them. In the context of public policy, it entails meeting the *functional* requirements of government specifically, and of society, generally. An example in the area of school level curriculum and credentialling policy is for schools to carry out the function of the development of particular knowledge, skills, attitudes, and values in the young, which are perceived as necessary for society, or one of its social groups, to survive and to function. Another example is for management of public organizations to carry out the functions of effective and efficient planning, organizing, controlling, co-ordinating and commanding within the specific organizational and situational context. The French management theorist, Henri Fayol (1930), has been a significant early advocate of this functional approach to management.

Interactive Perspective. A very diverse group of sociologists, including Garfinkel (1967), Psathas (1973), Reynolds (1990) and Salaman, Weeks and Boswell (1972) have focused on an *interactive perspective* of society. This perspective recognizes that interactions among individuals and among groups lead to the establishment of meaning for actions, which may not be *rational* and may undergo change over time. In a public policy context, this approach entails developing a perceived contract by negotiation to meet the needs of all of the parties involved in the process of formation and

implementing the policy. Such a negotiated position may undergo further change as group and individual perceptions of the policy, and the context, also change.

Conflict Perspective. This perspective of society has been taken by Dahrendorf (1959), and Rex (1961) and analysed more recently by Abraham (1982) and Binns (1977). It assumes that there is a tendency for individuals and for groups to experience conflict and that decisions are frequently made through one individual or group dominating. For public policy, this perspective encompasses the formation of policy through conflict among groups and subsequently involves public policy acting as a tool or device to impose a particular set of standards or to dominate particular groups or organizations.

However, a *conflict* perspective can also be interpreted as being encompassed by the *interactive* perspective as one of the extremes of interaction. This is the approach taken in the present study.

A key issue is the relevance of both *rational* and *interactive* perspectives in the present study. As argued in detail further below, it is possible that both perspectives on public policy formation can be taken simultaneously rather than being mutually exclusive. This allows for broader interpretations and explanations of the related public policy formation and implementation processes and their implications for implementation planning. Thus, the two theoretical positions provide an important dimension to the development of the conceptual framework undertaken in this chapter.

Key Operational Assumption 3: The 1990 N.S.W. curriculum and credentialling reform policies can be perceived from two different, but not mutually exclusive, sociological perspectives on public policy formation and implementation: rational and interactive.

Types of Public Policy. The *type* of public policy can be assumed to have implications for implementation planning because of the *expectations* associated with the policy. There are a number of different ways of classifying public policy, including, the *functional* approach of Jackson and Jackson (1990) applied to public policy in Canada which has also been used by Davis, Wanna, Warhurst and Weller (1993, pp. 104-127) for Australian federal public policy. However, public policies can also be classified according to the level and form of expectations they contain. It is possible to make a relatively simplified hierarchical classification of types of public organizational policies which parallels *levels of planning* proposed by Jantsch (1973).

First, there are *normative policies* which indicate expectations as the philosophical direction to be taken and which affect the entire organization and provide a guidance system. In a public organization developing curriculum and credentialling guidelines for school level clients, these could include such expectations as the promotion of equitable and appropriate curriculum and credentialling opportunities for each and every student; and promoting the rights of each individual to be developed to the full. The N.S.W. curriculum and credentialling reform policy described in the *N.S.W. Education Reform Act (1990)* contains a number of such *normative* dimensions.

Second, there are *strategic policies* which translate *normative policies* into broad, long

term design and process characteristics and the broad strategic approaches to be taken. An example of a *strategic policy* in school level education is the provision for students with special needs within a syllabus which aims to cater for a wide range of abilities rather than developing a separate syllabus.

Third, in contrast to the two types of policies above which focus on general expectations, there are *operational policies* which provide a more detailed framework for everyday organizational activities, which could include decision making and problem solving, ranging from policies on the employment of casual personnel, to dealing with telephone complaints from parents or community members. Barrett and Fudge (1981b, p. 11) also provide illustrations of operational policy as expressions in government circulars, managerial statements or detailed administrative procedures providing *rules* for carrying out of specific tasks.

This classification is *rational* but can also be related to *interactive* perspective on policy because the three types of policy described above could also be formulated and implemented through *interactive* behaviour. The next section on implementation explores this issue further.

Concept of Public Policy Implementation: Integral to or Discrete from Policy. One of the main conceptual and semantic issues evident in the literature on public policy is whether or not *policy* and *policy implementation* can be perceived as two discrete concepts. This distinction is reflected in the relatively recent concerns for *policy implementation*. For example, Palumbo and Calista (1990a, p. xi) have observed

that "... prior to the discovery of implementation, the significance of implementation for public policy had been overlooked". Similarly, McLaughlin (1987, p. 171) has commented that *implementation* only

"... joined the vocabulary of policy analysts in the early 1970's when ambitious, sweeping federal reform (*in the U.S.A.*) efforts cast 'implementation problems' in bold relief".

However, Palumbo and Calista (1990b) argue that the separation of policy formulation and policy implementation is less clear now than earlier when policy implementation was seen as following from formulation. This issue is now explored more fully.

On one hand, there is an approach that *policy* is a general all embracing concept which includes *implementation*. This is an approach which Dror (1989) has tended to take whereby the development of *policy* is perceived to encompass a series of stages including a *Post Policy Making Phase* and an *Executing Phase*, that is, *implementation*. This approach recognizes that public policy may continue to be formed during and through implementation.

On the other hand, there is a view that *policy* is the antecedent of *policy implementation* at least as an initial *set of expectations*. This appears to be the more frequently taken approach in works on policy and is consistent with the definition of *public policy* as a *pattern of expectations held by government* developed earlier in this chapter. For example, Bardach (1977) sees implementation as involving a separate and distinct set of processes occurring after the policy has been formulated. Similarly, Barrett and Fudge

(1981b, pp. 10-29), Hill (1981, pp. 207-223), Rein (1983, pp. 113) and Schneider (1982) demonstrate that implementation must follow on from the processes of policy making. Thus, even allowing for the *evolution* of the policy through reformulation, *adaptation* and the possibility of a total change during implementation which is discussed further below, there must be a policy as a set of expectations before it can be implemented.

Within the present research context of the operational use of the term *policy*, the latter appears to be a more realistic description. If *policy* is a set of expectations as defined earlier in this chapter, then it does not hold that *expectations* and *actions* are synonymous. As encompassing a set of *expectations*, a policy is *a priori* and must be *implemented* to achieve the purpose for which the policy was formulated. This approach does not ignore the adaptation and reformulation of public policy through and during implementation but asserts that there must be an initial policy as a particular direction to follow.

Consequences of this specific operational separation include the possibility that a policy as a *set of expectations* may not be implemented, or may be implemented but to varying degrees according to the intention, or may be modified through implementation. This assumption permits a focus on the *processes* of *implementation* as distinct from the *processes* of *formulation* which are not considered in this study:

"There must be something out there prior to implementation; otherwise there would be nothing to move toward in the process of implementation" (Pressman and Wildavsky, 1979, p. xiv).

Key Operational Assumption 4. Public policy, as a set of expectations, is distinct from public policy implementation but may interact with, and be modified through and during implementation.

Public Policy Implementation. Having established that there are arguments which support the recognition of *policy implementation* as a discrete activity, an overview of the nature of implementation will now be undertaken. It is necessary first to clarify the term, *implementation*, because there are two other terms which have been applied as synonyms: *execution* and *administration*. The less frequently used of these terms is *execution*. Dror (1989) describes one phase of public policy making as *Executing the Policy*. By this Dror means that a "... a policy is almost always executed by means of many sub-processes, as well as by full operations ... that involve little decision making " (Dror, 1989, p. 191). The *little decision making* here appears to refer mainly to *standing operational procedures* which determine routine responses and decisions. Dror (1989) adds that executing the policy includes *re-policy making* and adjustment, and these, together with executive decisions, in time determine the actual content of the policy. *Executing the Policy* is seen as a phase within a dynamic, aggregate, process model of policy making. This approach is discussed further below as an *evolutionary* model of public policy implementation.

A second more frequently used term in the literature is *administration* of public policy. For example, Emy (1976, pp. 34-40) refers to the *administration of policy*. This approach is evident in the titles of works on public policy, such *Public Policy and Administration in Australia: A Reader* (Spann and Curnow, 1975); and *Administrative*

Theories and Politics: An Enquiry into the Structure and Processes of Modern Government (Self, 1977). It appears that the term is an earlier expression for *implementation* and may encompass concepts in addition to *implementation*. It also implies a similar concept referred to above with respect to Dror's term *executing*, namely, that much of putting public policy into practice includes routine *administrative* practices, exemplified by *standing operational procedures*.

For the purposes on the present study, the terms *execution* and *administration* are interpreted as synonyms for *implementation* but are avoided here, where possible, to reduce the possibility of confusion.

It is now appropriate to define the term *implementation* operationally.

Key Operational Definition 2. In a public policy context, the term "implementation" is generally used to mean "to put into effect".

However, *putting into effect* is ambiguous as the precise meaning is linked with the definition of *policy* and the degree to which the intentions of the policy are accomplished. One approach is that *implementation* is the *setting up of the mechanisms* for the policy to be effective; another is the actual achievement or accomplishment of the intentions of the policy. The former of these is a *process* model; the latter is an *outcomes* model. Hargrove (1985, p. 3) has taken a similar approach by classifying implementation into two interrelated processes. These are the *process of organizing* according to strategy and the *process of carrying out of the chosen strategy and plan*.

It is also important to recognize that the type of policy can be assumed to be a factor in implementation. For example, the implementation planning of *normative policies* appears to be more complex to undertake than the implementation of *operational policies*. This could be due to the breadth of the values encompassed by *normative policies* and to the difficulty in specifying them clearly enough for them for faithful implementation to occur.

Barrett and Fudge (1981b, pp. 3-32) have developed a definition of *implementation* by analysing previous operational uses and adding a number of idealistic dimensions. Their approach involves four considerations. First, there is the operational application of the term used by Pressman and Wildavsky (1973) in their study of the implementation of federal programs in the U.S.A. which has been emulated in other studies, including the work by Ripley and Franklin (1982). Implementation is seen in this context as a *process of interaction between the goals of a particular policy and the actions designed to achieve these goals*.

This approach, however, is criticized by Barrett and Fudge (1981b) and Fox (1990). Barrett and Fudge (1981b) argue that this is a *policy-centred approach* implying the formation of a hierarchy of actions which in turn implies *compliance* of each level of implementation with the intentions of policy-makers. This relationship is not necessarily found in the *real world* as implementation is frequently the responsibility of individuals and organizations who are not in a *compliant* relationship with the policy-makers. They argue for a more *interactive approach* which is *action-centred* and provides for interaction between

"... those seeking to influence the actions of others and those upon whom influence is being brought to act..." (Barrett and Fudge, 1981b, p. 13).

This latter focus is also advocated by McLaughlin (1987) and Ripley and Franklin (1982).

Second, Barrett and Fudge (1981b, pp. 3-32) assert that *putting the policy into effect* is dependent on four factors. These are "... 1) knowing what you want to do...", that is, knowing the intentions of the policy; "... 2) the availability of the required resources...", that is, having adequate resources to carry out the policy intentions; "... 3) the ability to marshal and control these resources to achieve the desired end...", that is, having the power to use the resources to achieve the intentions of the policy; and "... 4) if others are to carry out the tasks, communicating what is wanted and controlling their performance...". The failure in any one of these will mean that the policy has not been implemented or not been implemented efficiently.

Third, they indicate that *implementation* occurs on a "... policy/action continuum in which an interactive and negotiated process is taking place over time" (Barrett and Fudge, 1981b, p. 25). This challenges the *policy-centred* approach explicit or implicit in many works which assume compliance. The key element in this process is *consensus*. Barrett and Fudge (1981b) see that *implementation* can only occur when the original actions of implementors are constantly adjusted by bargaining. Thus, *policy* cannot be regarded as fixed but is constantly undergoing reformulation. This perception is also discussed further below within the sections on *planning* and *evolutionary processes*.

This highlights the related issue of the importance of individuals and groups, as well as the context, in the implementation of public policy. Linder and Peters (1990, p. 52) criticize the presumption of many implementation studies that "... de-emphasize the role of actors and events ..." in the implementation process.

Fourth, there must be consideration of the organizational frameworks within which the *policy and actions* occur. Individuals and organizations have multiple roles and pursue certain actions in implementation frequently from unidentified perspectives.

"The scope of action ... may well depend on a variety of contexts devised from the different configuration and combination of 'limiting' factors ... (but) ...the existence of opportunities for action does not necessarily mean that action will be taken..." (Barrett and Fudge, 1981b, p. 27).

The importance of organizational contexts has also been recognized by Brodtkin (1990), Burke (1990), Carlucci (1990), Palumbo and Calista (1990a, p. xvf), Rainey (1990), and Sanger and Levin (1990).

From this outline of a *process* approach, three sets of key issues can be recognized. These are that there are multiple and complex linkages in the implementation of policy; there are questions of control and co-ordination; and there are issues of conflict and consensus (Barrett and Fudge, 1981b, p. 29).

In contrast with the *process approach*, it is also possible to perceive implementation as the accomplishment of the certain *outcomes*. Although this appears to be a relatively

lesser used concept, it implies that implementation has not occurred till the outcomes have been achieved. The study by Pressman and Wildavsky (1973) is an example of a work which has this perception implied by the use of *implementation*. This approach is difficult to substantiate as a general meaning of the term. In the case of the study by Pressman and Wildavsky (1973), it relates to a specific program which has specific objectives within a limited time frame. It is therefore inappropriate if related to the majority of the definitions cited by Hogwood and Gunn (1984) referred to earlier in this chapter.

The most important element in the foregoing discussion for the present study appears to be that the *separation of policy and policy implementation* can be substantiated and that this also links the notion of *implementation as a concept* with *the managerial concept of planning*.

This theme of the separation of policy and policy implementation is now explored more fully by referring to certain key works in the literature which also indicate that there have been relatively few studies on *implementation* and a general neglect of policy implementation *planning*.

Pressman and Wildavsky (1979) have indicated that policy ideas are translated into practice through the actions of organizations. But in the context of public policy in political systems modelled along the lines of parliamentary democracy, such as that occurring in N.S.W., the policy implementation organization is not necessarily the policy formulation organization.

The "... government is not usually involved with choice made by its agencies. There is inevitably discretion in the decision process. Departments and statutory authorities negotiate policy. They stay within broad guidelines determined by cabinet, but decide for themselves the details and arrangements for implementation" (Davis, Wanna, Warhurst and Weller. 1988, p. 107).

These government organizations are the technical services of the state responsible for policy implementation (Spann, 1973, 1979). Gunn (1978, p. 169) supporting this process adds that "... 'practical details' of policy implementation ... (are)... left to administrators".

Similarly, Friedmann (1987, p. 4), in reviewing planning in the U.S.A. in the introduction to *Planning in the Public Domain*, refers to the long established convention in parliamentary democracies of the separation of policy formulation by politicians and policy implementation by public officials. He cites the view of the American politician Alexander Hamilton in the eighteenth century that

"... politicians, as the people's representatives, should concern themselves primarily with general goals of policy (*values*), leaving the choice of appropriate means to specially trained experts". This is "... primarily a technical question, to be decided on the grounds of efficiency (*the least-cost principle*)".

A consequence of this *separation* of the organizations which formulate and the organizations which implement public policy is what Davis, Wanna, Warhurst and Weller (1988) indicate as the main issue in implementation: the policy formulated by the

central institution is not necessarily reflected in its delivery by the implementation organization. This is even more significant as it has been alleged that, in the public sector in Australia, implementation " ... is rarely, if ever, considered before a policy decision is made" (Davis, Wanna, Warhurst and Weller, 1988, p. 130).

Recognizing this broad issue of separation of formulation and implementation as critical, Gunn (1978) and Hood (1976) have agreed that policy *implementation* is therefore very complex.

"Perhaps the overarching, obvious conclusion running through empirical research on policy implementation is that it is incredibly hard to make something happen, most especially across layers of government and institutions ...", because, among other considerations, "... policy makers can't mandate what matters" (McLaughlin, 1987, p. 172).

Given that public policy formulation and public policy implementation occur within a generic organization known as the *government*, the existence of a policy *implementation organization*, as distinct from the policy *formulation organization* implies that a number of processes are expected to occur, particularly when a *new* policy has been formulated or when a new organization has been established by government to implement a particular category of policy. Elmore (1978), reflecting an *interactive perspective*, has indicated that following the formulation of a policy, there must be *learning* about it, interpretation or reshaping, and ownership if motivation and commitment are to occur and result in successful implementation. Barrett and Fudge (1981b) have undertaken a similar, though independent analysis and reached similar conclusions. Mountjoy and

O'Toole (1979) have also argued that fulfilment of formal policy requirements must *mean* something to someone. Bardach (1977) and Hill (1981) also support these assertions.

An emerging problem is that the difference between the policy-makers and the policy implementors is becoming more difficult to substantiate. Bekke (1987, p. 17) has argued that "... there is the problem of tracing boundaries between political and bureaucratic systems ...(in)...these two traditionally separate domains". Similar arguments have been made by Hargrove (1985) and Palumbo and Calista (1990a). The blurring of the boundaries between policy formulation and policy implementation is evident in the practice in Australian government of ministers, who are elected politicians and major participants in the formulation of public policy, being involved in the execution of public policy; and of non-elected public officials contributing to the formulation of public policy (Thynne, 1983, pp. 78-100; Thompson, 1983, pp. 57-77).

But De (1983, p. 162) has concluded in a study of five departments of the federal Indian government that the "...separation (of policy formulation and policy implementation) still persists in the relationship between the political wing and the public service wing of the government in different countries". The degree to which such a separation occurs could vary according to the context and the particular organization involved. In those policy areas where there is a separation of policy formulation and policy implementation, the separation does not mean that *interaction* is absent. Davis, Wanna, Warhurst and Weller (1993, p. 126) indicate, at least in Australia, that the public sector is "... too fragmented to dominate the policy process, but (has) powerful institutions able to advocate projects

and influence ministers".

One limitation in studying the *planning* of the implementation of public policy is that there have been relatively few related studies in the field of implementation research. At the time of undertaking their study, Pressman and Wildavsky (1979, p. xix) made the observation with respect to public policy, that " ... except for one excellent work ... we have not been able to locate any thoroughgoing analyses of implementation". Van Meter and Van Horn (1975, p. 452) have challenged this judgement as being " ... unnecessarily harsh and short-sighted " as there is a " ...rich heritage from the social sciences..." although it appears that, at the time of this observation, there had not been any substantial research specifically on public policy implementation. There has been an increase in the conceptual and empirical study of policy implementation processes since, such as, those represented in the collections of works edited by Odden (1991a) and Palumbo and Calistra (1990a) and the individual works exemplified by the studies undertaken by Edwards (1980) Lipsky (1978) and Mazmanian and Sabatier (1983). Palumbo and Calista (1990b) argue that more substantial and comprehensive research on policy implementation is still required.

In an Australian context, material relating to public policy implementation considerations has tended to come from government sponsored reports specifically associated with a particular change. Examples include the policy changes described by Andrews (1980) and Wilenski, (1977, 1982) on decentralization of government administration in N.S.W.; Hunt and Lacy, (1980a, 1980b) and P.A. Australia, (1981a, 1981b, 1981c) on structural changes in the Victorian government school system; and Scott (1989, 1990) on structural

changes in the N.S.W. government school education system. However, despite both the existence of these studies and of the perceived importance of *implementation* in translating government intentions into actions, there has been relatively little empirical work done on implementation *planning* by government organizations. Significantly, there is still a paucity of analytical studies on the *planning* of the implementation which is assumed in the present study to be a essential *first step* in the process.

In contrast with the neglect of research into policy implementation, there has been considerable attention to public policy *formulation* in previous conceptual and empirical studies. These include the works by Anderson (1974), Andrews (1980), Archer (1985), Axline (1986), Baldrige and Deal (1975), Bauer and Gergen (1968), Beringer, Chomiak and Russell (1986), Broadbent (1982), Hough (1984), Lieberman and McLaughlin (1981), McNay and Ozga (1985), and Mann (1975).

The studies on implementation of public policy have been significant for the present focus on implementation planning because they have made a contribution to an understanding of the processes and the factors influencing these processes in particular contexts. For example, the works by Edwards (1980), Ingram (1977), Murphy (1991), Peterson, Rabe and Wong (1991), Pressman and Wildavsky (1973), Ripley and Franklin (1982), Wildavsky (1979) and Williams (1976) on the implementation of public policy in the U.S. federal system have been predominantly about federally funded programs and difficulties encountered when policies made hierarchically at the top are implemented in relatively decentralized, remote locations.

The works by Bardach (1977), and Grindle (1980) have studied legislation as policy at the state level in a federal system and have focused more on beliefs and practices of the implementors. These studies provide an insight into some of the processes and factors influencing organizations responsible for implementation.

A number of *conceptual studies* have explored and brought together both different perspectives on, and details about, processes of policy implementation at a *macro* or whole organization level. These include the studies by Berman (1978), Elmore (1977, 1978), Johnson and O'Connor (1979), McLaughlin (1987), Rawson (1980), Sabatier and Mazmanian (1979, 1980), Schneider (1982) and Van Meter and Van Horn (1975).

A more diverse group of works has focused on the *micro* level. These include specific studies of policy implementation in school level education by Creed (1987), Frazer, Dunstan and Creed (1985), Gamoran and Dreeben (1986), Hancoch, Kirst and Grossman (1983), Keeves (1981), and Strang (1987). Like the previous examples of studies on implementation, these works have tended to focus on the action processes of implementation and have neglected the *planning* of implementation.

Thus, in operationalizing a conceptual framework for the study of the planning of the implementation of public policy, there is a need to address the paucity of direct empirical evidence on *implementation planning, per se*. Conceptual approaches and prior empirical studies on implementation, however, tend to provide a basic structure for a model and lead to an important operational assumption.

Key Operational Assumption 5. Implementation planning is a step in the public policy implementation process which may include adaptation and reformulation of the policy.

Establishing a Model of Public Policy Implementation: Where Does Planning *Fit In* ? The recognition of the separation of public policy as a set of expectations and public policy implementation can now serve to establish a model of the implementation of public policy distinct from models of policy formulation. This is an important, initial step in locating the position of planning as an essential process in converting policy intentions into actions.

A number of organizational decision models relevant to policy implementation are described by Fox (1990), and Goggin, Bowman, Lester and O'Toole (1990). While widely used structural *top-down* and *bottom-up* models are convenient for considering the organizational sources and power bases of implementation actions, the preference here is to follow the sociological perspectives taken earlier, namely *rational* and *interactive* approaches. Each of these will be considered.

First, the *rational* implementation models are based on traditional approaches to organizational management, such as that elaborated earlier in the twentieth century by Fayol (1930) as a *functional* approach and reproduced in the literature since, such as by Mintzberg (1979). These involve *linear* sequences of actions commencing with goals of the policy and involving discrete, yet interdependent, activities to achieve the goals.

This approach stands up well under theoretical analysis. One example of this approach

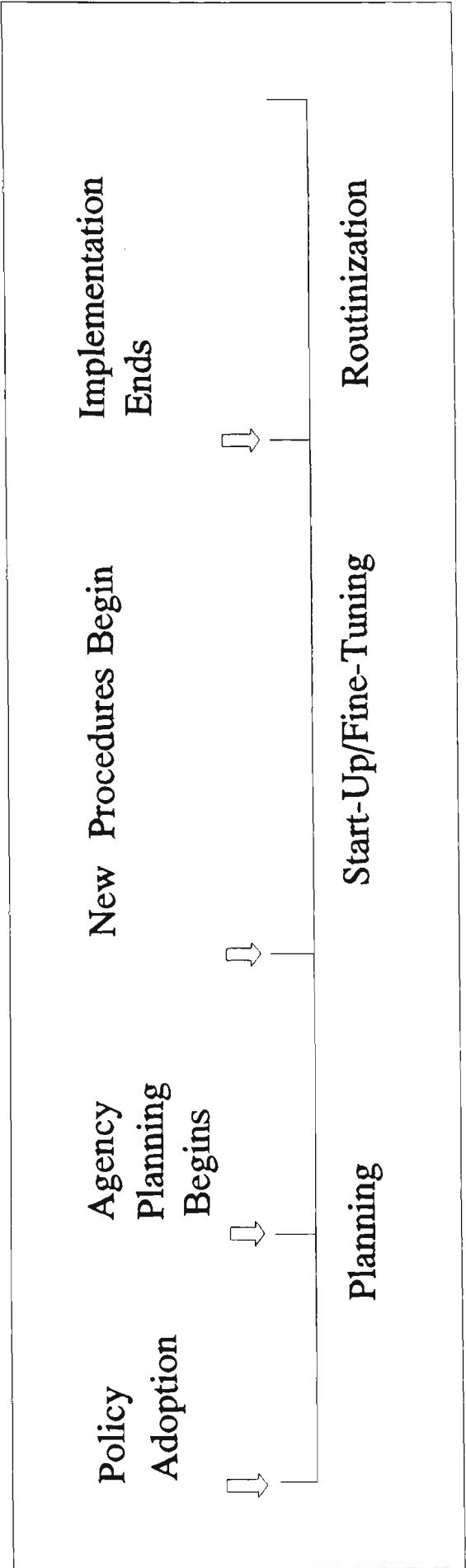
is evident in the model developed by Schneider (1982). In *Studying Policy Implementation: A Conceptual Framework*, the author identifies a simple sequence of phases in implementation which includes *planning*. This model is given in Figure 2.1.

This *rational* model can be related to the concept of *implementation* discussed earlier. In that discussion, the difference between implementation as a *process* and as an *outcome* has been explored. It is apparent that the implementation model of Schneider is a *process* model but it tends to fit the particular definition of policy used by Pressman and Wildavsky (1973) and classified by Hogwood and Gunn (1984) as a program to be achieved within a specific time frame. Other works which have used similar models of implementation include the studies by Van Meter and Van Horn (1975) and Montjoy and O'Toole (1979).

Second, the *interactive* model, here accepted as synonymous with *natural* (Scott, 1987), implementation models focuses on processes of *negotiation* and *consensus* building. For example, Barrett and Fudge (1981b) refer to the process of *negotiation* and *interaction* rather than *compliance* and *control*. Similarly, Dror (1989) describes the process of readjusting the policy through implementation and feedback. This interactive approach is also implied in the concept of loose coupling whereby there is a weak relationship between the intentions of the policy and the actions undertaken during implementation. *Loose coupling* is discussed further below.

A significant difference between the two models relates to *planning*. In the first, planning is an integral stage in the implementation process. As exemplified in

Figure 2.1 Linearly related phases in the implementation of public policy (after Schneider (1982))



Schneider's model, it is the basis for the actions of implementation. In the second, planning ostensibly appears to be irrelevant because the process of implementation is constantly being renegotiated and the policy is constantly being readjusted. From an *interactive* or *natural* perspective, it therefore seems that planning cannot be undertaken in the manner in which it occurs in the theoretical *rational* model. Egeberg (1987, p. 148) asserts that the natural approach emphasizes unplanned consequences and that the best solutions "... are supposed to emerge even without a plan".

The subsequent section *on the nature of planning* clarifies some of the implications presented above.

On the Nature of Planning

Planning in the Public Policy Implementation Process. The focus in this study on *planning* as an essential link between policy formulation and policy implementation necessitates consideration of the *nature* of planning more fully. A substantial body of written material exists on planning. This includes general conceptual and empirical studies of planning by Ackoff (1970), Ansoff (1987), Argenti (1980), Byers (1987), Cotton (1970), Godet (1987), Lorange (1980), and Lorange and Vancil (1977). There are also the works on planning specifically in public organizations, including those by Bryson (1988), Beringer, Chomiak and Russell (1986), East (1972), Rondinelli (1976) and Ruffat (1983).

However, there has been little attention given specifically to the implementation planning of public policies. This form of planning is *organizational* and is distinct from

other forms, such as, *land-use*, as indicated in various works (Altshuler, 1965; Arnstein, 1969; Lichfield, Kettle, and Whitbread, 1975; Parker and Troy, 1972). Where planning of policy implementation has been studied, there has been a tendency in the past to focus on total systems of planning rather than on planning of the implementation of specific public policies. Examples of the latter in education, include the works by Bassett (1970) on planning in Australia and by Lewis (1983) and Mann (1975) on planning in the U.S.A.

The concept of planning of public policy has been analysed by Friedmann and Hudson (1974) and Friedmann (1987). Two generic approaches to planning are evident and these parallel the two models of implementation of public policy referred to earlier. These are the *rational model* and the *natural* or *interactive* model.

The *rational* model of planning has been the more traditional approach. Rather than the alternative of random or *ad hoc* activities, planning is assumed to provide a relatively *rational* means of deciding *how* to put public policy into practice within a particular time frame and context, and with an indication of resources and activities required to do this effectively (to achieve the intentions of the policy) and efficiently (least cost).

Jungermann (1986) adds that there are two camps on rationality: one focuses on deficiency in human judgement; the other on the efficiency of such decision making. Both can be identified in the public policy implementation planning focus of the present study.

Rational decision making is *goals centred* behaviour in which the process of planning is encompassed by a series of discrete, but related, steps forming a *linear* chain of decisions and actions, which, when implemented, leads to the achievement of the goals. *Rationality* derives largely from the positive relationship between the goals as rational outcomes to achieve, and the actions necessary to achieve them. Such a model establishes the *plan* as a blueprint whereby variations in the content and sequence of actions are perceived as aberrant in terms of the relatively inflexible *a priori* goals and the already determined sequence of proposed actions.

In contrast with the historically earlier application of the concept of planning to physical land-use, Fayol (1930) indicated the general context of planning as an *abstract* process. Fayol (1930) asserted that planning is a general function of management and is the antecedent of four other essential management functions: organizing, commanding, co-ordinating and controlling. This *functional* approach has been frequently advocated in *rational* approaches to organizational management.

In the context of public policy, the concept of public policy implementation planning refers to the process of decision making whereby intentions and values of government are converted to plans to guide implementation actions. Implementation plans, as linkages, have an assumed *linear cause and effect* relationship so that rational decisions are made regarding the determination of the most effective means to implement policy intentions within a particular time frame.

The theoretical basis of this perception of planning is the *rational-structural-functional*

model of organizations discussed earlier. When used to conceptualize the planning of the implementation of public policy, there are certain assumptions: decisions are *rational*; decisions form a *linear cause and effect chain*; the outcomes of the process are positively related to the intentions (*faithful* to the intentions); planners have perfect knowledge of all factors; and the intentions, the planning decisions and the outcomes of the decisions are *unambiguous*.

These assumptions need to be judged in terms of the most plausible explanations of planning as practiced. First, the degree to which organizational decision makers are likely to make *rational* judgements depends on a number of factors, many of which may not be readily identifiable. These could include planner's perceptions of the policy, their prior experience, the culture of the organization in which the decisions are to be made, their perception of how the decisions might affect their job position and status or future positions, and if the decision meets the expectations held by *superior* managers for them. Simon (1976, p. xxx) has referred to this as *bounded* rationality because of human and organizational limitations and imperfections.

Second, personnel in large, public, bureaucratically structured organizations, may be relatively mobile both horizontally and vertically inside and outside of the organization. Those who are initially involved in planning to implement policy may move on to other positions; others who have different perceptions and experiences may be expected to continue the process; and those who develop the implementation plans may not remain in the position occupied during plan development in the implementation phase. Such changes can also reflect changing perceptions of the policies and factors which should

be addressed.

Third, the notion of a *linear cause and effect* relationship, an essential assumption in rational approaches, is tenuous in practical situations of policy implementation. In this context, the intentions and values of policy formulators must be recognized and interpreted by implementation planners. Divergence in perception from intention could result in the planning decisions and the plans produced leading implementation away from the policy as intended by formulators. Simultaneously, in the process of planning, certain factors, unknown to or not perceived as significant by policy formulators, may influence planning decisions. A consequence is that the implementation plan may not necessarily address the intentions and values of the policy as perceived by formulators.

Finally, it is hypothetically possible that the plans and their implementation may not be done *faithfully* according to planning intentions. This then is a further possible area of divergence, even if the written plan itself, as a product of planning, is supportive of the intentions of policy.

Given that the validity of the *rational-structural-functional model* is conditional on a particular set of assumptions, then a crucial question is whether *planning* can be perceived from another perspective. This is not simply a challenge to the *rational* model, but also to the concept of planning as an abstract process of determining an appropriate sequence of activities to carry out the intentions and values of a policy.

Pragmatically, it is evident that the process of planning as undertaken by individuals and groups in organizations is not necessarily *rational* and would not appear to be a

completely rational process even in the most sympathetic circumstances because of the influences of cultural and individual factors in decision making. Pinfield (1986, p. 365) has argued, in reference to public organizations, that few organizational decisions are made in a "... logical, rational manner".

Furthermore, as indicated above, planning and the resultant plan or plans in public organizations can hypothetically be unrelated to the intentions and values of public policy. Thus, due to various factors, the agency developing the implementation plan could, by design or misinterpretation, develop a plan or plans so different as to be incompatible with the policy.

Friedmann (1967, pp. 227-229) has challenged what is described in the present study as a mechanistic approach to *planning* as " ... an abstract model of perfect rationality ..." and has defined planning as "...guidance of change within a social system".

Consequently, a more probable relationship is that, semantically, the intentions and the plan appear to be similar. What appears to be unambiguous to the formulators may lead to *different interpretations* by the implementation agency and its individual members resulting in actions which may not support the policy as intended. The *language* used has been recognized by Johnson and Moore (1990) as critical for policy implementation. "(S)uccessful implementation of a policy depends heavily on the effective communicative effort of its policy organization (Meltsner and Bellavita, 1983, p. 20).

A consequence of these areas of divergence is that a pragmatic model of policy

implementation planning illustrates that planning may occur which does not have the attributes of the *rational* model.

This approach is described in more details below in the section on *Static and Evolutionary* approaches to policy implementation.

The conclusions here lead to an examination of a second model of planning. This is the *natural or interactive approach*. This approach recognizes problems of the *rational* model and parallels the *interactive* approach to policy implementation described by Barrett and Fudge (1981b) and Dror (1989). The essential feature of this approach is that human dynamics in the planning process provide for conditions in which the actions of implementation can range from an extreme of constant negotiation and renegotiation through which the policy is consequently adjusted to the position in which implementation is being dominated by the relatively inflexible perception of one particular group or individual preference.

It is critical in examining the assumptions of this model to refute the notion implied by Egeberg (1987) that *planning* does not exist. Planning is neither goals oriented nor blueprint oriented but it exists from a *consensus* among the actors. Unlike the *rational* approach, the *interactive* approach recognises the irrational elements in decision making in planning and the influences of such factors as, organizational culture, personal power and ambitions, and personalities. This approach appears to be consistent with *evolutionary planning* discussed below.

A consequence of these conditions is a dynamic plan which may not appear to be based on objective decisions or comprehensive evaluation of the alternatives. However, it does provide for a set of *agreed guidelines* for action based on shared understandings. This is an interpretative approach to judgment which acknowledges the importance of *perception*. It also accepts that *compliance* is unlikely to exist and that there is unlikely to be a *hierarchy of compliant relationships* between the goals of the policy, as determined by the policy formulators, and the actions of the implementors.

The implications of the *rational* and *interactive* models for the present study are significant. As the focus is on *planning* of the implementation of public policy, the key question is to determine the degree to which each model is valid. It is also possible that both models could be evident to some degree if they are perceived as existing, conceptually, on the same continuum rather than being separate, and mutually exclusive. This will require an analysis of the planning processes undertaken by the staff of the public organization in the case study.

Research Question 1. To what degree do the rational and interactive models of planning explain the implementation planning process ?

Types of Plans. The models of planning discussed above refer to the processes of plan development. The products of this process include plans. Plans can be classified in a variety of ways but the approach most consistent with the *rational* perspective taken so far in the considerations of types of public policy, and the *functional* nature of planning, indicate that the classification of plans according to Jantsch (1973) is

appropriate. These rationally based, interdependent plans are *normative*, *strategic* and *operational*. They can be defined using the same descriptions employed earlier in this chapter on the *types of public policy*. Thus, *normative* plans are plans which indicate how the broad philosophical directions of the organization will be achieved through actions. *Strategic* plans show more detailed actions required over a medium time frame (Ackoff, 1969, 1970; Ansoff, 1987; Argenti, 1980; Bryars, 1987; Bryson, 1988; Higgins, 1980; Lorange and Vancil, 1977) to achieve the outcomes in the normative plan. *Operational* plans indicate the day to day procedures and activities to meet the strategic commitments (Ackoff, 1969, 1970; Ansoff, 1987; Argenti, 1980; Bryars, 1987; Bryson, 1988; East, 1974; Higgins, 1980; Hussey and Langham, 1979; Lorange, 1980) . Thus, two further key research questions are as follows.

Research Question 2. What types of implementation plans are evident ?

Research Question 3. What are the relationships among the implementation plans ?

Assumption of Linearity: Static and Evolutionary Perspectives on the Planning of the Implementation of Public Policy. One of the main assumptions implied in *policy implementation* and in *policy implementation planning* is that both implementation and planning occur in stages which form a *linear cause and effect* chain in which the *planning* of policy implementation and the actions of putting the policy into practice depend on the initial formulated policy. As described above, a critical aspect of implementation planning in the *real world* is the degree to which it is a *structural-functional* concept bounded by the notion of *rationality*.

But *linearity* can have two differing states: *static* and *evolutionary*. Though *static* linearity has been the more frequent assumption underlying planning and implementation when operating under the assumption of a *rational* model, Majone and Wildavsky (1977), Pressman and Wildavsky (1979) and McLaughlin (1987) have challenged it by posing an alternative of an *evolutionary* state. Policy implementation under the assumption of *evolution* entails the adaptation of the policy itself to the environment. Thus, public policy implementation is more than putting the intentions and values of government into practice. It may involve alteration of the policy through the process of implementation so that frequently the policy itself is changing. Barrett and Fudge (1981b), Dror (1989) and Edward and Sharkansky (1978, p. 12f) have described this process. What is implemented is being altered by the implementation process. This is not perceived as aberration but an assumption of, and expectation for, the implementation of policy.

The evolutionary state also seriously questions the notion of *faithfulness* of implementation in terms of the original expectations of the policy. It would be more appropriate to consider *effectiveness* instead as this implies that the actions have achieved something of benefit in terms on the intentions and values; but Scott (1987) indicates that the notion of effectiveness itself is bound up with the *rational* model of organizations under relatively *static* conditions.

Furthermore, the notion of *linearity* of relationships can be challenged. It is possible for the policy implemented under evolution to be unrelated to the intentions and values of government or the implementation agency. This approach has been discussed by

McLaughlin (1987). Thus, the possibility of *non-linear relationships* between policy and action is a critical area for research enquiry. Barrett and Fudge (1981b) have implied this in their recognition of the particular circumstances which may arise when implementation is done by individuals or organizations which are not part of the formal organizational structure of the implementation organization from which the policy originated or the implementation plan has come. *Non-linear relationships* are encompassed by the *interactive approach*. Two related questions are now given.

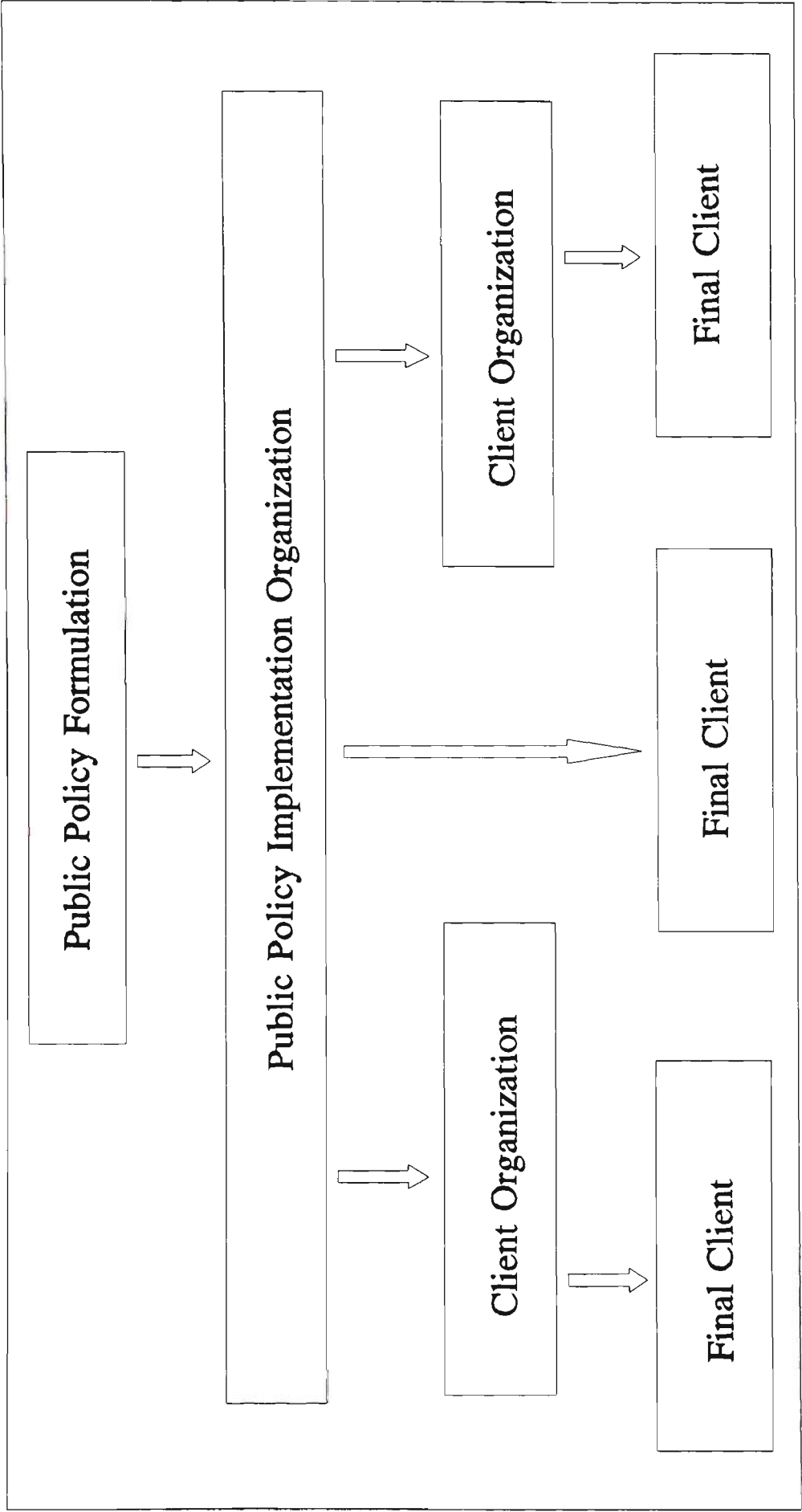
Research Question 4. What planning processes have occurred ?

Research Question 5. To what degree is the planning process linear ?

Rational, Linear Model of Public Policy Implementation. Figure 2.2 indicates a linear model of public policy formulation and implementation relationships. As indicated earlier in this chapter, in parliamentary democracies public policy *formulation* is carried out by one or more of the three functional areas of the government, namely, the legislature, the executive and the judiciary, under varying degrees of external influences, but by both elected politicians and non elected public officials. Although the policy formulators would be expected to have some sensitivity to policy implementation but at a general level of intentions and values, the next stage is where policy implementation is taken up by the government's public implementation organization and the process of converting *intentions* into action is commenced.

This stage is relatively complex. It encompasses interpretation of the intentions of the

Figure 2.2 A schematic view of a rational, linear model of the relationship of public policy formulation and public policy implementation



policy by *technical experts* and *public officials*, and the arriving at some *position or positions* on their meaning. It can entail formulation of *implementation policies* which are more detailed intentions of how to put it into practice, and *action plans* and *reformulation* and *adaptation* of policy. This stage would have some notion of *outcomes* to be expected.

In the context of public policy implementation, a government's policy implementation organization may deal directly either with *final* clients as the intended *targets* of the policy, or with *client organizations* which act as intermediaries in translating the policy implementation plan into actions to benefit the final clients. Such *client organizations* could also develop specific policies on implementation, particularly if *organizational* values are perceived to go beyond those held by the government or implied in the policy. Client organizations could include both other government agencies and organizations and non government organizations.

At each of these subsequent points in the implementation process, two groups of sub-processes are assumed to exist. First, there is the continuation of *influences* in the form of expectations from above which affect interpretation of policy intentions and implementation actions. Second, there is the breaking down of the policy into manageable elements as action to be done.

A significant characteristic of the model is that, besides its *linearity*, it is also *hierarchical* not only as a whole, but also within each stage. For example, the government implementation agencies are frequently modelled along *bureaucratic* lines

(Beringer, Chomiak and Russell, 1986; De, 1983; Weber, 1947, 1978). These have structures which include levels of decision making, from a corporate or central point, to relatively decentralized points, both structurally and, frequently, geographically. It can thus also be assumed that the implementation process entails a hierarchy of decisions and actions both across all stages, and within each stage. As indicated already in the present study, Barrett and Fudge (1981b) have identified such implementation hierarchies as weaknesses in implementation because it assumes a *compliant* relationship which may not exist.

This *rational* approach is limited in that it fails to recognize the dynamic elements of policy implementation and of planning. In the real world, as public policy implementation in parliamentary democracies frequently entails varying degrees of negotiation and modification of implementation actions, there is also an assumption that there is interaction among the decision makers across the different stages.

Relationship Among the Components of the *Cause and Effect* Chain:
 Concept of *Coupling*. The foregoing discussion of the assumed *linearity* of planning within the *rational model* of policy implementation has not identified the degree to which the components of the process are related. Evidence from empirical studies of policy implementation in school level education has indicated that, at least at the *micro level*, there is a relatively *loose coupling* of the policy and the actions taken by the implementors. Loose coupling has been described, among others, by Beyer, Stevens and Trice (1983, pp. 233-238) and by Weick (1976, pp. 1-19). The essence of this is that the implementation actions do not relate closely to policy intentions. *Loose coupling*

can be interpreted as a sign of poor implementation under an assumption of a *rational* model but an indication of adaptation and reformulation of policy under an assumption of an *interactive* model. Therefore, there are two further research questions.

Research Question 6. What are the relationships of the implementation plans and the public policy ?

Research Question 7. What relationships exist among the components of the public policy implementation planning process ?

Planning of the Implementation of Public Policy by Public Organizations

The chapter so far has established the nature of public policy and the nature of planning in the development of an operational, conceptual framework for examining public policy implementation planning. Using *systems theory*, this section of the chapter now focuses on organizational aspects particularly significant for the implementation of public policy.

Mesarovic and Takahara (1975, p. 1) have indicated that *systems theory* is " ... scientific description concerned with the explanation of phenomena... ". Hoos (1972) describes the approach as having its origins in engineering as a mechanical model of the operation of any device needing inputs and giving outputs, but that subsequently the approach has been applied in a wide range of academic disciplines including sociology. Hoos (1972) also cautions that such a range of applications and differing conceptualizations has

confounded defining the term.

Systems theory has been chosen for three main reasons. First, a *systems theory* approach is relatively comprehensive in its focus on organizations and therefore permits a study of all aspects or any one aspect of an organization regardless of its structure or its environmental state. Second, the approach is not bounded by any one specific epistemological tradition, but there is an assumption of *linearity of relationships*. The approach has universality to any *cause and effect relationship*. Third, it can be applied without the limitations of any one methodology though the application in the field of engineering, and by implication in other fields, has tended to assume mechanical relationships between *cause and effects* (Hoos, 1972, p. 22; Mesarovic and Takahara, 1974). Thus, whether the methodology is *qualitative* or *quantitative* or a combination of these, the systems approach is potentially very useful.

Systems Approach in Management and Organization Theory. There are two groups of contrasting systems models of organization in management and organization theory which contribute to the identification and analysis of the processes of implementation planning of public policies by focusing on the *openness* of the planning system. *Openness* is the degree to which planning is and can be influenced by environmental factors. These models are the *relatively closed systems models* and the *relatively open systems models*.

Though this distinction has been specifically developed for the study, there has been wide attention to *systems* theory elsewhere. Credit for the development of *systems*

concepts is usually given to Bertalanffy (1950, 1952, 1968) who has used the *open systems* approach specifically in relation to the natural sciences. It has also been adapted to the study of human organizations and human behaviour, such as, the *social systems approach* taken by Barnard (1938), Merton (1957), Parsons (1951), and Simon, Guetzkow, Kozmetsky and Tyndall (1954) and has been identified as a significant approach to the study of management and organizations. The approach has subsequently been used in works which have analysed human organizations in education such as that by Kaufman (1982) and appears particularly appropriate for focusing on the processes undertaken in public organizations. Hoos (1972) has also related systems theory to public policy. A thorough analysis of the theory has been undertaken by Lilienfeld (1978) who has also referred to the *migration of systems theory* to a range of subject disciplines while Abraham (1982) and Welsh (1972) have provided an analysis of *systems theory* from sociological perspectives.

Scott (1987) has developed a different classification of systems models to that used for the present study but compatible with it. These are *rational* models which focus on a functionally based organizational design to achieve specific goals; and *natural* models which recognize *interaction* among individuals and groups as the basis for decisions and achievement of goals. Either approach can be *open* or *closed* which refer to the degree to which the context is dynamic and involves external influences. The *rational* model in the classification of Scott (1987) is also characterized by *cognitive* limits through such terms as, *constraints*, *authority*, *direction*, *optimization*, *jurisdiction*, *performance*, and *co-ordination* (Scott, 1987, p. 32) This indicates the predominantly *rational-structural-functional* conceptual base of the model. The approach outlined by Scott (1987) is

similar to the classification of *implementation* and *planning* described earlier in this chapter as *rational* and *interactive* approaches.

While it is theoretically possible for both the *rational* and the *interactive* models to be used simultaneously as tools to describe management and other organizational processes, the present study has incorporated these perspectives within the preferred relatively closed and relatively open approach because this approach focuses on degrees of openness and consequently allows for constantly changing influences and processes and new, emerging environmental influences. While there have been many variations and modifications of these models with their conceptual and empirical development in other studies, the overall assumptions of each group of models have remained stable.

Thus, instead of judging the two groups of models as opposing, they are viewed in the present study as complementary approaches to a more complete understanding of the nature of planning in systems and sub-systems in hierarchically structured organizations, the processes involved in planning in these, and the factors influencing both policy decisions and their implementation.

These two groups of models are now analysed more thoroughly.

Relatively Closed Systems Models. There have been two ostensibly opposing models which characterize organizations as being *relatively closed systems*: *mechanistic* and *organismic*. The term *relatively closed* is significant as the concept of *absolutely closed*, as implied in earlier other works (Fayol, 1930; Taylor, 1947; Weber, 1947,

1978), is not evident in human organizations, such as in *real world* government policy implementation organizations, which tend to undergo change internally and experience dynamic environments which affect their internal processes and structure.

(1) *Mechanistic Models*. The concept of an organization as a *mechanical* device pre-dates the mechanistic perspective on organizations taken by Taylor (1947), Fayol (1930) and Weber (1947, 1978), but it is through their writings that many of the related concepts have been developed and applied to a wide range of organisations. This approach has been described by Scott (1987) as *rational* in that there is a direct, albeit, *linear* link between the identified goals and objectives and the activities carried out by the organization to achieve them through a routine, *mechanical* set of processes.

A principal concern of this model has been the improvement in organizational efficiency, that is, reducing cost per unit output, by the elimination of organizational *friction* through *rational* decision making. Taylor (1947) has advocated standing procedures and routines while Gilbreth (1914) has attempted to provide for the elimination of unnecessary human activity as a result of *time and motion* observations. But, as indicated above, it has been Fayol (1930) who has classified managerial functions to include *planning* as the essential antecedent of all others to ensure the smooth, directed, and unambiguous *rational* attainment of organizational goals. Efficient organizational structures and procedures are an outcome of planning as a *rational* process.

There are three implications of the mechanistic model of organizations and

organizational management for the development of a conceptual framework for the present research. First, planning by *lower* levels in hierarchically structured organizations is essential in meeting the goals of the whole organization as well as contributing to the attainment of the goals of the particular sub-system. This is a significant aspect of concept of bureaucratic organization of Weber (1947, 1978) which has been used substantially in describing large organizations such as those undertaken by Miller and Droge (1986), Sayeki and Vesper (1974). Jennegren (1981) has observed that this organizational structure is frequently encountered in public organizations. It has also been the focus of the study by Ripley and Franklin (1982) on policy implementation in the U.S. federal system.

Under the *bureaucratic* form of organization, the hierarchical structure reflects a hierarchy of goals and respective implementation plans. This concept of *hierarchy* has been referred to already in this chapter in the discussion of the work on implementation by Barrett and Fudge (1981a, 1981b). Such a hierarchy is a form of decentralization of decision making and implementation responsibilities. The corporate goals cannot adequately be attained if subordinate goals are not. Implementation planning in any decentralized sub-system, whether functional, output based (product) or locational as described by Jennegren (1981) and Kochen and Deutsch (1973), is therefore critical. In studying any public organization, it necessitates the recognition of corporate goals and corporate policies by the decentralized sub-system and the most efficient means of contributing to their attainment.

Second, *policy* is an essential tool in the *mechanistic* model. Central or system-wide

policies are the basis of organizational efficiency but their effectiveness depends on successful planning and implementation through the entire organization.

Establishing *procedures* is perceived to be an appropriate method of facilitating public policy implementation and in reducing barriers to the attainment of organizational goals. Thus, there must be a recognized process or set of processes in planning and such processes, in turn, constitute *standing plans*.

Third, the *mechanistic* model establishes planning as essential in carrying out all other management functions, namely, organizing, controlling, coordinating and commanding (Fayol, 1930). On one hand, effective planning can promote the efficient allocation of resources to tasks over time to attain organizational goals and goals of the individual sub-system. On the other hand, ineffective planning will tend to result in failure to do this.

(2) *Organismic Models*. Whereas *mechanistic* models view the organization *rationally* as a machine which requires the reduction of *friction* to ensure efficient operation, the *organismic* or *organic* (Burns and Stalker, 1961) models focus on the behavioural, *irrational* aspects including social processes. Exponents have included Barnard (1938), Herzberg, Mausner, and Snyderman (1959), Mayo (1953) and Maslow (1964).

The organization in the *organismic* model is perceived as a collection of groups with their material environment. The human elements interact among themselves and with

the material environment resulting in practices, attitudes and values which are frequently incompatible with the formal expectations of organizational management. Human resources thus do more than supply labour in the pursuit of organizational goals. Organizational members tend to develop attitudes and values about the organization itself, its sub-systems, and the formal and informal groups within it. Such values can influence efficiency and goals attainment.

Organismic models tend to be less *closed* than *mechanistic* models because of the relatively unique attributes each individual brings to the organization but can still be perceived to be relatively *closed* as these are adaptable to organization's culture and may become relatively static. As a result, this particular operational interpretation taken in the present study differs from the classification frequently made elsewhere of the *organismic* model as an *open systems*.

There are several implications of the *organismic* models for the research undertaken here. First, organizational structure, job design, and grouping of members may influence *efficiency*. Policies are implemented by organizational members and the practices that they develop and internalize may be *irrational* in terms of the appropriateness of procedures in pursuit of system and sub-system goals. While the system is static at any point in time, practices can vary over the short and long term in such ways that the same policy and the same implementation plan can be perceived in totally different ways within a sub-system, among sub-systems at any point in time, and over time. Planning of policy implementation may appear to be *rational* but this model indicates that this is not necessarily the case even when formal procedures are used.

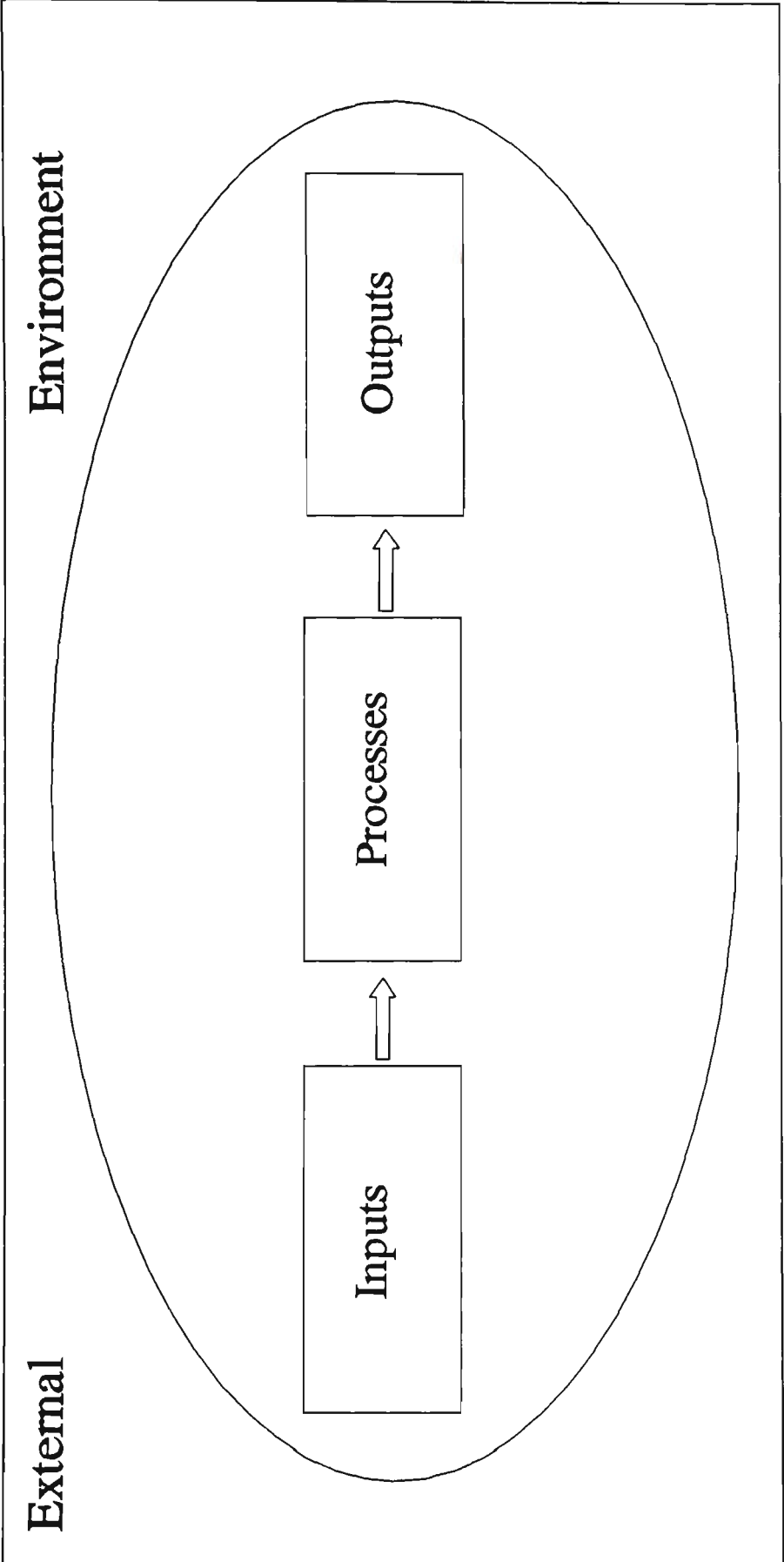
Second, the *organismic* approach has introduced a range of organizational concepts which reflect human forces influencing policy implementation planning. These forces include *organizational climate* or *organizational culture* which mirror the particular organizational value system and this, in varying ways, can promote the need for, and the acceptance of, policies and policy implementation planning. For example, an organization could have a culture which approves of planning as significant and essential. The resultant behaviour would tend to promote practices, either formal or informal, which encourage the carrying out of efficient and effective planning.

Figure 2.3 is a schematic representation of a relatively closed systems model which contains the features described above.

Relatively Open Systems Models. Although the *Relatively Closed Systems Models* have had a major influence on the understanding of public organizations and the processes which occur in them, they have a number of significant limitations which are overcome through *Relatively Open Systems Models*. Unlike *relatively closed systems models*, *relatively open systems models* entail an assumption that inputs, the internal processes, and the outputs are variable in response to the dynamics of the environment and the capacity of the organization to be adaptive and therefore the organization tends to be continually in a state of *dynamic equilibrium*. This approach is implied above in the *evolutionary* perspective on policy implementation.

These *relatively closed* and *relatively open systems* models, collectively, promote the view in this study that there is no single *best* approach to management processes or

Figure 2.3 Schematic representation of a relatively closed systems model

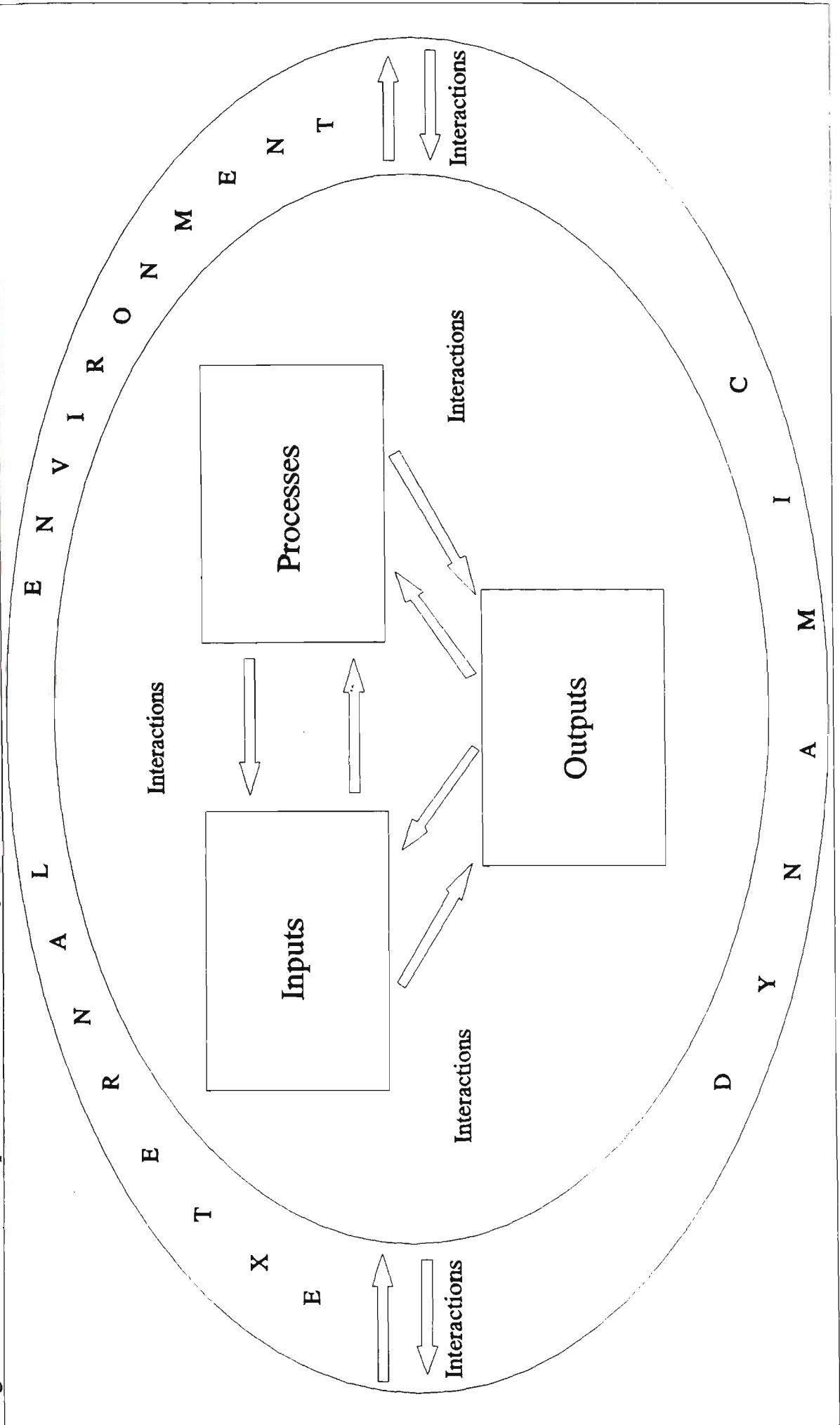


organizational design, and thus to policy implementation planning. However, a *relatively open systems* approach is more appropriate in a context in which there is a need to accommodate changes in the *inputs* and internal organizational processes over time.

Campbell, Fleming, Newell and Bennis (1987, p. 6f) argue therefore that the open systems approach requires additional organizational variables to be examined and that external as well as internal factors must be scrutinized carefully. As such, the *open systems approach* provides a more comprehensive model of the processes of the implementation of public policies in a dynamic environment. Furthermore, this approach is of particular value because of its holistic, and heuristic attributes, which thereby allow the taking into account of both the rational and the irrational aspects of organizational behaviour. Pinfield (1986) and Welsh and Slusher (1986) have argued that few organizational decisions are *rational*. Miller and Droge (1986) have taken the argument further that in an organization, decisions reflect the *personality* of the chief executive, and these decisions could be *rational* but may not be. Thus, key organizational members could exert considerable influence on policy implementation planning.

Figure 2.4 indicates the main features of an open, simplified, hierarchical, public organization system, such as those occurring in the Australian states. The major inputs for the corporate system are resources, including funds and what the funds can acquire, for example, personnel, technology, capital equipment, real estate, knowledge; and expectations from the political and societal environment which impose normative limitations on systemic development. The inputs are used to resource the corporate

Figure 2.4 Schematic representation of a relatively open systems model



system and develop a structure to pursue goals established outside the corporate system and refined into specific systemic goals.

The initial process in the transfer of inputs into the system is *encoding*. This enables the system to interpret and allocate such inputs efficiently and effectively within the externally imposed normative framework, including government policies, specified by the system's legislative and financial antecedents.

Subsequent processes involve the application of the management functions of planning, organizing, controlling, coordinating and commanding described originally by Fayol (1930) whereby the broad expectations of the system are developed into attainable goals and supportive practices.

There are both intended and *unintended* outputs. The former entail goals attainment, such as, the provision of benefit to clients; the latter include both desirable and undesirable results of systemic functioning, such as, inadvertent promotion of outcomes which are inappropriate to clients or contrary to intrasystemic or government intentions.

There appear to be two critical conditions affecting the use of the *relatively open* systems approach. First, in any large corporate organization, while the organization as a whole can be perceived as a system, there are a multitude of internal systems and sub-systems which interact and experience various degrees of interdependence. With respect to these, Beringer, Chomiak and Russell (1986, p. 18) have stated specifically that:

"Comprehensive corporate management is based on ...'open systems' approach.

Planning and other management decisions for any part of the organization will affect other parts".

Because the environment of public organizations and the internal organization and processes are constantly undergoing change, each system and sub-system must be viewed as relatively dynamic as each can respond to modifications in inputs by structural and process change, and in response to alterations in the other dependent systems and sub-systems. Moreover, inputs to each system and sub-system can include those other than from *above*; there are also *leakages* from the systems and sub-systems to their environments.

Second, as a *relatively open systems* approach is a rather simplified representation of reality, there are a variety of *unknown* inputs, internal processes and outputs which can be significant even though they may not be identifiable.

There are many implications of the attributes of the *relatively open systems* approach for implementation planning and include the expectations that planners will develop and apply a planning system which is itself dynamic, flexible and capable of accommodating changes continuously rather than on the basis of some periodic or summative situation analysis.

An essential question about public policy implementation planning derived from this analysis of a *systems* approach when applied to research into a particular organization is, with respect to any specific set of public policies is therefore as follows.

Research Question 8. To what degree is the planning of the implementation of public policy relatively open or relatively closed ?

This question overlaps with the question given earlier on the degree to which the implementation process is linear. However, Research Question 8 focuses on the degree of openness in the planning system whereas Research Question 6 seeks to establish the relationships within the stages of plan development.

Planning Orientation in a Systems Approach. From the perspective of *systems theory*, it is possible to classify the orientation of planning undertaken in public organizations. *Planning orientation* is assumed here to be a significant concept in applying systems theory to the study of the planning of the implementation of public policies because it indicates if there is a particular focus on any part of the planning system. In its simplest form, it can be postulated that there are *three* broad orientations of organizations possible, excluding the improbability of *no* orientation, each of which can be perceived as a continuum rather than a *yes* or *no* dichotomy. These are *inputs*, *processes*, and *outputs*. All would be expected to be evident in an effective organization under the assumption of a *rational* model of decision making but could also be assumed for an *interactive* model.

Inputs Orientation. An inputs orientation occurs when the system or sub-system focuses on the *inputs*, such as resources or expectations or demands. The concerns can be about the level, nature, flow, balance, certainty or identification of inputs. An organization with a predominantly input orientation would plan to meet its input needs

to the relative neglect of other needs.

Input oriented systems could occur in either public or private organizations but are significant in the public when changes in policies or uncertainty in resourcing result in the internalization of the perception that inputs are relatively scarce. Although concern about inputs would be valid for every system, it would constitute an aberrant orientation if it was the dominant concern because public organizations tend to be client or output oriented.

Process Orientation. An organization which is *process oriented* tends to focus on the processes which occur in the system or sub-system rather than inputs or on goals attainment. This focus does not necessarily ignore goals but simply attempts to optimize the effectiveness of the processes followed, especially when inputs are restricted or diminishing, such as in the case of government funding to public policy implementation systems under conditions of rationalized spending or with a highly uncertain future. Both Dunphy (1981) and Grandori (1987) have identified *process* orientation as one of the main characteristics of effective management.

Process oriented systems tend to be more evident in public organizations where, due to a tendency for least cost funding, high expectations and difficult to quantify goals attainment, there is a need to optimize systems processes (Feldstein and Luft, 1973) rather than goals attainment. Meltsner and Bellavita (1983, p. 13), in referring to the U.S.A., have argued that "... public managers are expected to do more with less, and public organizations are supposed to be better managed". Emphasis on managing the

system is pre-eminent.

Outputs Orientation. An organization which is output oriented tends to focus on goals or objectives. This is a frequently encountered approach in the private sector but is also evident in some public plans such as in the report on *Schools Renewal* in New South Wales (Scott, 1989). Planning in such organizations is used as a basis for *blueprinting* practices in the effective attainment of outputs.

There are two discrete foci of *outputs* orientation which have been recognized in this study. First, in the *normative focus*, planning is carried out to attain system goals on the basis of *absolute* standards. The plan contains statements of goals to be pursued. Such plans also have indicators of successful goals attainment.

Second, there is a comparative focus whereby a system seeks to attain goals in relation to a perceived scale established against the goals attainment in other organizations. For example, a goal in a state public school system could be to attain the same level of literacy as in another system.

Of the three orientations, the last has been substantially documented with respect to private, profit centred organizations, such as in *management by objectives techniques* (Drucker, 1954, 1973). However, its applicability for, and its actual application to, public, service centred, non-profit organizations is not substantiated to the same degree, despite reference to outputs in many official reports and studies, because it presumes measurable goals and flexible financing of goals attainment, both of which are atypical

of public organizations.

From these conceptual extrapolations it can be assumed that process orientation could be more evident in planning of the implementation of public policies than either of the other two orientations.

Planning orientation can reveal important information about how the plans of the public organization are linked to the public policy, how the public organization has interpreted the policy and the focus of plans and the planning process within the planning system. Thus, there is an important related research question.

Research Question 9. What is the orientation of the implementation plans ?

Contextual Environments of Public Organizations. The *environment* of public organizations is described throughout the literature as being significant in the implementation of public policy. For example, Bardach (1977), Beyer, Stevens and Trice (1983), Brodtkin (1990), Bryson (1988), and Smart (1991) have referred to the factors *within* or *outside* of organizations which influence decision making. It can be assumed that these affect implementation planning of public policies.

First, there are the *external* or *extrasystemic* environmental factors which encompass all of the influences on organizational processes which derive from contexts and sources external to the organization. Second, there are the *internal* or *intrasystemic* influences and conditions which also affect planning undertaken by the organization. Each of these

is examined more closely below.

The External Environment. The *external* or *extrasystemic* environment includes the political and societal framework in which policies are formulated and implemented. In Australia, the political framework is particularly complicated because each state government organization is influenced, to varying degrees, by federal policies (Beswick and Harman, 1984; Smart, 1982; Davis, Wanna, Warhurst and Weller, 1988, 1993) as well as by state government policies.

Even in educational matters where each Australian state has constitutional rights and responsibilities in the formulation and implementation of school level curriculum and credentialling policies (Birch, 1982, pp. 36f, Crisp, 1983, pp. 83-105; McKinnon, 1991) the Commonwealth government has gained some influence on these through some of its policies which have become, albeit, *de facto*, state policies due to conditional funding and agreement among state Ministers of Education through their meeting in the Australian Educational Council. These dual influences are significant for the planning of the implementation of state government policies because the values underlying the policies of the two levels of government frequently differ according to the policy platform of the particular party in office at either level of government. When this is the case, dilemmas in implementation ensue. The broader political framework provides the dominant context for policy formulation and implementation, and it must be addressed by policy implementation planners.

Currently, a key characteristic of this context is the expectation by both levels of

government for what is perceived to be relatively *high* levels of outputs from government systems but the provision of relatively minimum resources to implement the policies to achieve these. This *least cost* approach to the implementation of public policies is a major consideration for policy implementation planners. Friedmann (1987) has provided a description of this principle. Its focus is of contrast to the *optimum return* considerations in policy formulation and implementation in private organizations.

The *societal* context can be interpreted as encompassing the political context in the external environment. Public policy formulation and implementation have frequently been rationalized as a response to societal needs. However, it can be perceived that this is an over simplification of reality because *it presumes society itself to be a corporate entity* in which decisions have been made to reflect a consensus of views with the corresponding assumption of *perfect knowledge* of the options.

A more realistic approach is that society is *pluralistic* and consists of different groups which are consistently undergoing changes in, at least, some perceptions of themselves and why education exists and *what* and *how* public policies should be formulated and implemented. Australian society has been described as *pluralistic* by a range of observers. These include the Hugo (1986), Jupp (1988), N.S.W. Department of Education Multicultural Education Policy Statement, 1983; and N.S.W. Department of Education Ethnic Affairs Policy, 1986; Commonwealth of Australia (1989); and Rizvi (1992). Such *pluralism* is exemplified in terms of such variables as age, ethnicity, race, gender, wealth, power, and beliefs. Therefore, the pluralistic nature of Australian society is another characteristic of the context of public policy formulation and implementation.

A consequence of a *pluralistic* society is that there is potential for divergent expectations of public policies and for the implementation of such policies which, following the argument of Barrett and Fudge (1981b), could be addressed more easily in implementation rather than in formulation. What can be acceptable to one group may not be to another. In response, governments tend to promote each public policy widely.

Steiner, Miner and Gray (1982, pp. 515-527), in a U.S. context, have suggested that *pluralism* is also responsible for apparent *inconsistencies* in public policies. Inconsistencies in public policy could emerge from an *incremental* approach to their formulation (Lindblom, 1959, 1965, 1979, 1980) as a consequence of attempting to satisfy different constituents. Incremental formulation could also emerge through interaction with groups and organizations in the environment as adaptation and evolution of the policy occurs without necessarily generating inconsistencies.

From a *pluralistic*, societal point of view, it is possible to recognize two broad sets of expectations for public policies and policy implementation. First, there are the *generic constants* in expectations which do not appear to alter fundamentally over time across different groups. Examples include expectations of curriculum policies to promote literacy, numeracy and interpersonal respect. Second, there are the *variable expectations* which reflect emerging interests and concerns such as the need to respond to youth unemployment or the need to train youth for changing technologies.

The differences are potentially significant. It can be speculated that in the first set, there is a general expectation for the responsible implementation organization. In the second

set, different community groups frequently have totally opposing expectations; placating one group with a particular approach to implementation can alienate another group.

There is a need to explore this environment for influences on policy implementation planning. Therefore, there is another research question of importance in the present study.

Research Question 10. What external environmental factors influence the public policy implementation process ?

Having recognized the potential significance of external environmental factors, another consideration is the internal organization environment and how this influences public policy implementation planning undertaken by implementation organization. These internal influences will now be examined more specifically.

The Internal Environment. The internal or intrasystemic environment of an organization also influences policy implementation. This is detailed in works by Bardach (1977), Barrett and Fudge (1981a) and Ripley and Franklin (1982). Bardach (1977) describes the collection of such internal influences, together with external influences, as *The Implementation Game*, in which he asserts that such influences can become major barriers to policy implementation.

The *internal environment* includes the organizational structure and resources, decision making processes, perceptions the government's expectations held by implementation

planners, organizational ethos and related corporate culture including *top-down* policies, dysfunctional practices and the specific *situational design* in which the public policies are implemented.

Each of these attributes is significant for implementation for a number of reasons.

First, *organizational structure* or *organizational design* in large, public, bureaucratic organizations establishes a hierarchy of objectives and plans to carry out corporate policies. This hierarchical structure also represents a fundamental corporate policy of *decentralization* which Naisbitt (1982) identifies as one of the major global trends.

Through decentralization policies, *sub-system* planning is legitimated if that decentralization includes *geographical* or *spatial* segmentation or subdivision of the organization's structure (Kochen and Deutsch, 1973; Vancil, 1979). The scope, and character of planning by decentralized organizations depends on other corporate policies or practices governing the degree of autonomy embodied in *delegated, discretionary or devolved authority*. Mintzberg (1973, 1979) and Pfeffer (1981) have viewed *decentralization* as a *dispersion of power*. As such, a *dispersion of power* could range from *none* to *total*. It is important to identify the *power base* for implementation planning as integral to understanding the character of it in any specific public organization. This also must include the degree to which *compliance* occurs and because hierarchical planning tends to be characteristic of implementation in public organizations.

Second, organizational resource allocation in relatively large, hierarchical, public organizations tends to be *top-down*. In other words, whether or not the mode of

decentralization tends towards *delegation* or *devolution* described by Andrews (1980) and by Wilenski (1977, 1982), and whether or not there is provision for participation, each sub-system is allocated resources from *the top*. Furthermore, the ultimate responsibility for the implementation of public policies in a parliamentary democracy, such as, N.S.W., rests with Ministers and Cabinet. Consequently, Ministers and Cabinet *may not* abdicate from their responsibilities by delegation or devolution. *Control* over resources is therefore an essential condition in meeting these responsibilities and is largely retained by the parliament through its power over the budget. Public organizations, however, have not traditionally been self sufficient within economies like the Australian because they do not usually raise income as part of their operations and, even with trends towards *devolution*, would still depend on the total system for funding and some degree of structural support.

Third, the location of significant systemic decision making has an impact on sub-system planning. This approach to classification has been recognized, though criticized for its simplicity in that it is frequently presented as a dichotomy, by Winter (1990). A preferred approach to decision making is to see that it can vary between predominantly *at the top* to predominantly *at the bottom*. In purely *at the top* decision making in public organizations, structural and spatial decentralization does not necessarily lead to effective implementation planning of *head office* decisions. In the Australian context, as described previously, there is a tendency for public systems to be hierarchical with a predominance of *top down* decisions and the expectations of *compliance* of all sub-systems.

State public organizations tend to vary in the degree to which this occurs. Sturman (1989) has described this *top-down* approach with respect to decisions about the curriculum. For example, N.S.W. has had a tradition of significant decision making at the *top*, with expectations for government organizations and their sub-systems to support and carry out central decisions. In Victoria the government organizations and their sub-systems make decisions more at the local level but with broad legislative and structural framework established from above. However, it would appear that the type of policy, normative, strategic or operational, is a significant factor. As a result, implementation planning of curriculum and credentialling policies can differ in concept and practice according to the location of significant decision making.

Fourth, perceptions held by implementation planners of the policy expectations of Ministers and Cabinet, theoretically, can influence planning. Under assumptions of a rational approach, such expectations *are* the formal basis for planning and the implementation of the policy. Under the assumptions of an interactive model of implementation, expectations serve to influence the behaviour of planners. In both cases, perceptions of formal expectations are factors which influence planning processes and planning outcomes. The interactive model, however, also provides for recognition of less formal and hidden expectations, whether real or not, which can influence planning and for an evolving interpretations of policy intentions and the consequential actions of planners. Complicating the significance of the perceptions of expectations is the *dynamic* nature of both real expectations and of the perceptions of them. Hypothetically, evolving perceptions may result in evolving planning behaviour and an evolving policy.

Fifth, the implementation organization's corporate *ethos* and culture have implications for implementation planning of public policies. Taylor and Hussey (1982) have indicated that the *human dimension* is one of the most important factors in corporate planning and, by analogy, in public policy implementation planning. The corporate culture consists of *norms, interactions, attitudes, values, feelings, and informal practices* which are characteristic of the organization (Graves, 1986; Smircich, 1983; Weick, 1985) and which frequently operate *covertly* in influencing formal practices including the implementation of system-wide policies and the expectations for sub-systems.

The cultural context may affect the effectiveness of implementation planning in a number of ways, ranging on a continuum from *completely supportive* to *totally opposing*. A *culture*, which by values and practices promotes the former, could be expected to lead to more effective policy implementation.

Because of the relatively large size and geographical and functional dispersal of sub-systems in hierarchical public organizations, there can be a number of different, opposing, *subcultures*. For example, each sub-system could have a *specific culture* which is different from a *head office* culture in terms of expectations of the sub-system, the value placed on action, including the planning of policy implementation, the nature of interactions among personnel, *ethos*, the perception of the whole organization, and the responsibility of the sub-system in the implementation of decisions made at the corporate level.

Finally, each sub-system has a specific *situational design* (Obel, 1981). Conceptually,

situational design is the response of a system or sub-system to its unique environment in carrying out its functions and meeting its responsibilities. At one extreme it is *the* reason for the existence of decentralized sub-system, either by delegation or devolution; that is, the reason for the structuring of a large organization specifically into, geographically or functionally discrete units. Such a unique environment includes demographic, geographical, social, cultural, political and economic attributes which together form a complex background to, and a set of forces influencing the nature and direction of policy implementation planning at the sub-system level.

It is evident, from the above analysis of the environment of public organizations, that the dimensions identified need to be recognized specifically.

Research Question 11. What internal organizational factors influence the public policy implementation planning process ?

Implications of the Conceptual Framework for the Present Study:

Dimensions for Research

This chapter has developed a conceptual framework for the study of the planning of the implementation of public policy. Three sets of considerations have been examined. These are the *nature of public policy* and *public policy implementation*; the *nature of planning* as an essential link between public policy and its implementation; and the *organizational processes* which are undertaken by public organizations with implementation responsibility. Together, these three sets of considerations have

contributed to the identification of a group of key factors relevant for the present study. These are now restated along with certain of their implications at two levels: essential operational considerations; and significant *gaps* in theory and prior research.

Essential Operational Considerations. Public policy has been defined in the context of the present study by matching the particular policy which is being implemented to seven of the ten definitional elements given by Hogwood and Gunn (1984). The policy, which is the focus of planning, is complex and has one common element: it is a *set of expectations*. Thus, public policy has been interpreted as *the formal, standardized, pattern of expectations of the government in a particular area it perceives to be its responsibility*. In the context of school level education reform in N.S.W., the reform policy is defined operationally as *the set of expectations for the curriculum and credentialling experiences of school age children in the N.S.W.* These expectations are described in the *Carrick Report* (September, 1989), *Excellence and Equity* (November, 1989) and the *N.S.W. Education Reform Act* (1990).

The analysis of the concept of public policy has also recognized certain characteristics which need to be taken into account and examined in the present case study. These include the *sources* of the specific policy, both *functional* and *dysfunctional*, and the *type* of policy being implemented. The specific public policy also needs to be described clearly.

The term, *implementation*, has been defined operationally as the process of *putting a policy into effect*. There is a need to recognize that there may not necessarily be

compliance between the policy-formulators and the policy-implementors in this process. External control by legislative, executive and judicial branches of government may not result in implementation according to the intentions of the policy formulators. Provision needs to be made for recognizing a search for consensus, for example, through *interaction* during implementation. This approach could recognize that the various actors in the implementation process may have different perceptions of both the policy and the importance of implementation in terms on their own personal and shared values in the particular context. Another significant focus of research is the degree to which implementation planning is a rational, linear process.

Significant Gaps in Theory and Prior Research. There are also significant gaps in theory and prior research findings which are addressed in the present study. One such gap is the extent to which the *rational* and *natural or interactive* models of *implementation* could be recognized as valid, complementary approaches to *planning* rather being considered mutually exclusive. Thus, a critical focus of research is determine to what degree policy implementation planning undertaken by the public organization in the present case study is consistent with either the *rational* model or *interactive* model or with both.

Complementing the search for a particular model of planning which explains the actions of the implementation organization are the *external environmental* and *internal organizational processes* related to planning. The *systems theory* discussed in the latter part of the chapter indicates two different approaches. It would appear from the literature explored that a *relatively open systems* model would be the more probable

explanation of the processes in the public organization being studied; but assumptions of a substantial group of studies maintains the validity of a *relatively closed systems* approach. By taking a more lateral approach, a key question to answer is the *degree* to which the latter is evident rather than if it is evident or not. Thus, a further area of focus is the need to explore whether the *best fit* model is the relatively *open* or the relatively *closed* systems approach. This need to derive from both the *best fit* model also encompasses the need to explore the *nature of planning* which is undertaken by the organization in the process of implementation from both *rational* and *interactive* perspectives.

Specific Directions for the Present Research: Key Questions. The foregoing descriptions of both the essential considerations in, and of the *gaps* in theory and prior empirical findings on, planning of the implementation of public policy provide a base on which to establish specific research questions for the present study. These questions are given in Table 2.2. Note that the dichotomy of *rational* and *interactive* perspectives on planning and the strong support for both also indicate that there is a need to preserve both perspectives as complementary plausible explanations rather than as being mutually exclusive. The focus is on the extent to which either or both explain the planning of the implementation of public policy at *macro* and *micro* levels in the implementation organization. Such an open ended approach does not appear to lend itself to the conventional use of hypotheses and propositions as these imply that one particular direction is to be researched. But the questions can be structured into clusters which are related to the components used in the systems models. These are analysed in Chapter 3.

Table 2.2 Derivation of research questions for the present study in terms of theory and previous research

LEVEL 1. BROAD AREAS OF RELATED THEORY AND PREVIOUS RESEARCH	LEVEL 2. AREAS OF ASSUMPTION AND FOR RESEARCH	LEVEL 3. SPECIFIC RESEARCH QUESTIONS	LEVEL 4. CLUSTERED BROAD RESEARCH QUESTIONS
ON THE NATURE OF PUBLIC POLICY	Definition of Public Policy	What types of implementation plans are evident ?	WHAT ARE THE CHARACTERISTICS OF THE PUBLIC POLICY IMPLEMENTATION PLANS WHICH HAVE BEEN DEVELOPED BY THE IMPLEMENTATION ORGANIZATION ?
	Sources of Public Policy	To what degree do the <i>rational</i> and <i>interactive</i> models of planning explain the implementation planning process ?	
	Perspectives on Policy Formulation: Links with Implementation	What are the relationships among the implementation plans ?	
	Types of Public Policy	What are the relationships of the implementation plans and the public policy ?	
ON THE NATURE OF PLANNING	Concept of Public Policy Implementation: Integral to, or Discrete from Policy	What planning processes have occurred ?	HOW HAS THE PUBLIC POLICY IMPLEMENTATION PLANNING PROCESS BEEN UNDERTAKEN BY THE IMPLEMENTATION ORGANIZATION ?
	Public Policy Implementation	To what degree is the planning process linear ?	
	Establishing a Model of Public Policy Implementation: Where Does Planning Fit In ?	What relationship exists among the components of the planning process ?	
	<i>Planning</i> in the Public Policy Implementation Process	To what degree is the planning of the implementation of the public policy relatively open or relatively closed ?	
PLANNING OF THE IMPLEMENTATION OF PUBLIC POLICY BY PUBLIC ORGANIZATIONS	Types of Implementation Plans	What is the orientation of the implementation plans ?	WHAT FACTORS INFLUENCE THE PUBLIC POLICY IMPLEMENTATION PLANNING PROCESS UNDERTAKEN BY THE IMPLEMENTATION ORGANIZATION ?
	Static and Evolutionary Perspectives on the Planning of the Implementation of Public Policy	What external environmental factors influence the public policy implementation planning process ?	
	Relationship among the Components of a <i>Cause and Effect</i> Chain: The Concept of Coupling	What internal organizational factors influence the public policy implementation planning process ?	
	<i>Systems</i> Approach in Management and Organization Theory		
	Planning Orientation in a <i>Systems</i> Approach		
	Contextual Environments of Public Organizations		

These clusters of questions are also given in Table 2.2. They indicate that there are three areas of focus: *what* is the nature of characteristics of each component in the system and what is the nature of the system of implementation planning; *how* the character of each component in the system has developed; and *why* the character of each component in the system has developed. Thus, a set of general research questions is posed here and adapted into the design of the present study in Chapter 3. These questions are presented below.

What are the characteristics of the public policy implementation plans which have been developed by the implementation organization ?

How has the public policy implementation planning process been undertaken by the implementation organization ?

What factors influence the public policy implementation planning process undertaken the implementation organization ?

These questions are operationalized in the context of the Board of Studies, N.S.W., in Chapter 3.

Conclusion

This chapter has examined the literature to determine the nature of public policy, the nature of planning and the nature of processes in public organizations which bring public

policy, implementation and planning together. The result has been the development of a conceptual framework for the study of the planning of the implementation of public policy and the formulation of a series of broad and related specific research questions, together with related operational definitions and assumptions. The framework and the research questions will be used in the next chapter to formulate a specific design for the case study undertaken here.

CHAPTER 3 CASE STUDY APPROACH TO A STUDY OF PUBLIC POLICY IMPLEMENTATION PLANNING: DESIGN AND APPLICATION

Overview

This chapter explains the design and application of the case study approach to the study of public policy implementation planning. This is accomplished through five interrelated steps. These are first, an analysis of epistemological and methodological traditions of research; second, establishing the nature and boundaries of a case study approach in relation to the organization studied here; third, further operationalizing the research questions developed in Chapter 2; fourth, a description of the approach used in collection and the analysis; and fifth, the identification of, and comment on a range of limitations of the design.

Introduction

The present research uses a single case study design which incorporates sets of what can be perceived as opposing *epistemological* traditions together with a *qualitative* approach using three different methods of data collection. This approach *is multiperspectivism* and is assumed to be essential in establishing a design which is *valid, comprehensive* and *meaningful* in answering the three main groups of research questions on public

policy implementation planning. This approach also avoids the limitations of any one tradition or method when used alone.

The concept of *multiperspectivism* (Macpherson, 1990), or *multiple methods* or *multi-operations* (Brewer and Hunter, 1989), or *multiple operationalism* (Campbell and Fiske, 1959; Campbell, Webb, Schwartz, Sechrest and Grove, 1988; and Campbell, 1988b) or *multiple standpoints* or a *multilateral approach* (Fox, 1990), or *triangulation* (Jick, 1979; Denzin, 1978; Webb, Campbell, Schwartz and Sechrest, 1966; and Wollcott, 1988) refers to the research process of using different, independent measures and *tests* of the same phenomena. These approaches attempt to address a dilemma occurring in conducting research which seeks to test or measure theoretical concepts and propositions. Many of these are unmeasurable or untestable empirically, at least in the short term within the limitations of current research methodology. To achieve measurability and testability, researchers operationalize theoretical concepts and propositions into specific research questions or hypotheses. The same broad theoretical base could serve for differing questions and hypotheses, each of which would be appropriate to the particular intentions of the researcher. However, when data is collected, there is embedded within it both *relevant* and *irrelevant* elements in terms of the theory or propositions which underlie the intentions of the researcher. It is also possible that not all of the relevant elements are collected. The *irrelevant* elements may obscure the significance of the *relevant*. To increase confidence in the measures obtained, one approach is to use *multiple measures*³.

³The term *multiperspectivism* has two different meanings. It can refer either to different and discrete perspectives or to the integration of different perspectives to form a coherent *interperspectivism*. In the present study, *multiperspectivism* encompasses both approaches in each of the Chapters 4, 5, 6 and 7.

"Once a proposition has been confirmed by two or more independent measures (*triangulation*), the uncertainty of the interpretation is greatly reduced... If a proposition can survive the onslaught of a series of imperfect measures, with all their irrelevant error, confidence should be placed in it... (T)his confidence is increased by minimizing error in each instrument and by a reasonable belief in the different and divergent effects of the source of error "(Campbell, Webb, Schwartz, Sechrest and Grove, 1988, p. 62f).

Jick (1979, p. 604) adds that

"The effectiveness of triangulation rests on the premise that the weaknesses in each single method will be compensated by the counter-balancing strengths of another."

Of particular relevance to the present study are the four forms of triangulation identified by Denzin (1978). These are *data triangulation* in which there is comparison between data collected either at different points in time, or at different sites, or for different levels of analysis; *investigator triangulation* which entails different investigators considering the same situation; *theory triangulation* which involves the use of different theories in considering the same situation; and *methodological triangulation* in which either the same method is used at different points in time or different methods are used to examine a particular research proposition or problem. It appears that *theory triangulation* and *methodological triangulation* are consistent with the analysis of theory and prior research undertaken in Chapter 2 which has resulted in the formulation of the three main research questions in the present study and that the other two forms of

triangulation would not be appropriate because the focus in the present study is on a single case study with only one researcher involved.

Epistemological Traditions in Context

Critical to the design of the study are the differing epistemological approaches assumed in previous research and analysed by Campbell (1988c), Evers and Lakomski (1991), Macpherson (1990), Soltis (1984) and Suransky (1980). The works by Evers and Lakomski (1991) and Tesch (1990) provide a summary of the main philosophical orientations of research traditions and their applications, particularly, in social science research which is relevant in the present study. Following and further adapting the analysis of Suransky (1980, p. 177), these epistemological traditions can be classified here simply into *logical-positivist* and *non logical-positivist* approaches.

The *logical-positivist* approach is the *scientific method* tradition which assumes the existence of *natural laws or general principles*. Although Halfpenny (1982) identifies 12 different concepts of positivism, he also asserts that positivism is "... identical with traditional empiricism" (Halfpenny, 1982, p. 115). *Scientific method* has been described by Nickles (1974, p. 575) as encompassing three sets of distinctions: between theory and observation; between context of discovery and context of justification; and between theory and methodology. The process of *scientific method* involves the establishment of hypotheses or research propositions and the *testing* of them to determine *positive* support. The discovery of positive data leads to the clarification or definition of such *natural laws* which must have *universality* or *generalizability*.

However, there are criticisms of this epistemological tradition particularly with respect to the study of social contexts of human behaviour such as that occurring in organizations.

Suppe (1974, p. 6n) asserts that logical-positivists

"... unreasonably (have) tried to force all empirical knowledge into the scientific mould and ... that it continues to survive as a philosophy dealing with a restricted range of empirical knowledge - scientific knowledge".

Walsh (1972b, p. 55) adds another limitation that

"... positivism seriously mistakes the character of the social world in assuming the common identity of natural and social phenomena".

Fox (1990, p. 200) also criticizes the logical-positivist tradition in the study of policy implementation and indicates that "... our understanding of ... policy implementation in particular should transcend positivism ..."

The *non logical-positivist* approach is more variable than the *logical-positivist* approach. It encompasses the *phenomenological* tradition which Campbell (1988c) describes as akin to the *behaviouralist* tradition. It entails the development of situational *meaning* from observation and experience of phenomena in which the individual exists. Each individual tends to perceive the *real* world differently. In essence, this is frequently portrayed as the antithesis of *logical-positivism* because it has a fundamental assumption that universal or generalizable *natural laws* do not necessarily exist, or may not be measurable or recognizable, particularly in social contexts. However, it does not reject the concept of *natural laws* or *general principles* outside the context of the social world.

In general, it accepts that there is a distinction between a *real* world and that which each individual perceives which in turn can influence human behaviour. Bruyn (1966, p. 261) asserts that the *real* world is capable of being described independently of the perception of the observer.

The focus here is on *phenomenology* as an example of a *non logical-positivist* approach to *knowing*. Phenomenology "... insists that astute philosophical and empirical attention to social reality reveals that the social-for-real world is given - and only given - through the activities of human beings in a world they prereflectively accept as real and shared" (Rogers, 1983. p. 161).

Hammond, Howarth and Keat (1991) in their *Understanding Phenomenology* have provided a detailed analysis of phenomenology and a brief comparison with *science (logical-positivism)*. They refer to *phenomenology* as involving "... the description of things as one experiences them, or of one's experience of things..." (Hammond, Howarth and Keat, 1991, p. 1) and identify four important features. These factors are now described.

- 1) The concept of *phenomenon* in *phenomenology* is not simply the philosophical notion of *appearance* as distinct from *reality*. It refers to *how* one experiences things. It could entail a distinction between the experience of what is real and what is apparent within the phenomena. Both are *phenomena* in phenomenology.
- 2) The concept of *experience* entails both the *public* (outer) and *private* (inner) elements. This traditional philosophical dichotomy is rejected.
- 3) Phenomenologists reject the notion that the *natural sciences* through empirical

discovery and a focus on *reality*, claim to have knowledge of a higher quality than other means of gaining knowledge.

4) Phenomenologists insist on careful description of ordinary conscious experiences in contrast to the possibility of the influence of *a priori* philosophical commitments of researchers.

In the context of the study of policy implementation, the *non logical-positivist* tradition has been supported by researchers and theorists (Fox, 1990; Yanow, 1990).

The two epistemological approaches are also ostensibly different in the level of control. *Logical-positivism* claims a rigorous process, hypotheses developed from theory or *a priori* grounds, structured data collection procedures, and a need for replication and generalizability of positive findings to other populations - the development of a *law*. It is frequently claimed that *non logical-positivism* does the opposite of this; the critical difference is its focus on unique phenomena as perceived by individuals which is essential in identifying the meaning of the specific situation.

The language of this *logical-positivist* and *non logical-positivist* dichotomy needs to be examined carefully for it implies a differential status whereby *logical-positivism* can be interpreted as the criterion against which the *non logical-positivist* tradition is judged. This has been discussed by Hammond, Howarth and Keat (1991), referred to briefly above; and by Campbell (1988d, pp. 489-503) who refers to "... *the social system vehicle of carrying scientific knowledge*". The assumption of the superiority and the exclusiveness of *logical-positivism* also exists in a number of works purporting to

analyse the strengths and weaknesses of each tradition, such as, that by McClintock, Brannon, and Maynard-Moody (1979).

Evers and Lakomski (1991, pp. 213-236) raise an altogether different issue about the validity of this *logical-positivist* and *non logical-positivist* dichotomy with respect to educational research, and, by implication, to the study of education policy. They challenge the notion of diversity between what they call *scientific* and *interpretative* paradigms as constituting different forms of explanation and understanding by presenting an *epistemological unity* or *unity thesis*. This is in contrast to two other theses: the *oppositional diversity thesis* which entails a partitioning of educational research "... so that the research traditions turn out to be distinct, presenting different ways of knowing or forms of knowledge (Evers and Lakomski, 1991, p. 214); and the *complementary diversity thesis* which entails epistemologically distinct paradigms, which are "... equally appropriate ways of approaching different, overlapping, or perhaps even the same research problem" (Evers and Lakomski, 1991, p. 214).

Consequently, rather than separating the *logical-positivist* and *non logical-positivist* traditions as alternative, mutually exclusive approaches, it is plausible to perceive them as constituting complementary explanations. This is interpreted in the present study as being consistent with the *open systems* view of planning which recognizes organizational and environmental dynamics.

There are significant implications of the two sets of epistemological traditions for the present study. Both appear to have the capacity to provide a valid approach seeking to

answer the three research questions developed in Chapter 2. The *logical-positivist* tradition contains a model for empirical enquiry using established theories and prior research findings positively supportive of related hypotheses and propositions consistent with the theory which has been analysed earlier in the present study. The *non logical-positivist* tradition clearly indicates that the perceptions of *reality*, by both those involved in public policy implementation planning and by the researcher, is an essential consideration in attempting to answer the three research questions. Together, the two traditions appear to be complementary approaches which can assist the further development of theory in the area and also provide a practical insight into implementation planning undertaken by a particular organization.

Quantitative and Qualitative Traditions of Measurement

Another set of perspectives are the *quantitative* and *qualitative* traditions of measurement. As indicated earlier, the concept of *measurement* is frequently incorporated by the term *methodology* but in the present study *methodology* refers to techniques used to collect and to analyse data together with the related *design*. An example of methodology is the use by Brewer and Hunter (1989). They identify *four* methods: fieldwork, survey, experiment and non reactive methods within a *logical-positivist epistemology*.

In contrast, *measurement* refers in the present study to *qualitative* or *quantitative* approaches to the recording and the analysing of the occurrence of phenomena. Kirk and Miller (1986, p. 9) have indicated that, although a limited explanation,

" ... a 'qualitative observation' identifies the presence or absence of something, in

contrast to 'quantitative observation', which involves measuring the degree to which some feature is present."

This simple dichotomy of quantitative and qualitative research tends to reflect measurement approaches intrinsically bounded by the different epistemological traditions. There is frequently *quantitative logical-positivist* and *qualitative non logical-positivist* research. These approaches include a wide range of specific research methods, each of which appears to have been developed to *fit* one of the epistemological approaches.

However, each measurement tradition is not unique to one epistemological tradition. It cannot be assumed, for example, that quantitative research, *per se*, is relevant and valid only under assumptions of *logical-positivism*; and that qualitative research is only applicable to *non logical-positivism*. For example, Campbell (1988e) and Van Maanen (1979) has argued that *qualitative* and *quantitative* measurement traditions are not mutually exclusive. Consequently, it is possible to have qualitative measurement in a *logical-positivist* epistemology, and quantitative measurement in a *non logical-positivist* epistemology. In support of the former, Kirk and Miller (1986, p. 10) argue that

"Qualitative research is an empirical, socially located phenomenon ... not simply a residual grab-bag comprising all things that are 'not quantitative'."

In the present study, however, a *qualitative* approach to measurement is preferred within the joint *logical-positivist* and *non logical-positivist* epistemological traditions for two main reasons. First, the study focuses primarily on the nature of processes and outputs

not on the " ... 'quantity', or amount... " (Kirk and Miller, 1986, p. 9), such as *statistical frequency* with which certain features occur or are evident. Second, in this study the main medium of enquiring into these processes and outputs of implementation planning is through the *perceptions* of individual participants who have different levels of responsibility and different contributions; and through the researcher's direct and indirect *perceptions* of events and analysis of records. This involves

" ... watching people in their own territory and interacting with them in their own language, on their own terms" (Kirk and Miller, 1986, p. 9).

The research seeks to identify the *whole* of the implementation planning system which is possible through words rather than by quantitatively measuring certain attributes.

In the present study, it is recognized that there is frequently some concern about the *validity* of qualitative measurements. However, Campbell (1988f, pp. 377-388) has argued that

"... man is ... a very competent knower, and qualitative commonsense knowing is not replaced by quantitative knowing.

"Rather, quantitative knowing has to trust and build on the qualitative, including ordinary perceptions" (Campbell, 1988f, p. 388).

In the present study, the issue of validity is addressed through *multiperspectivism*. Kirk and Miller (1986, p. 21) have argued that the issue of validity in qualitative observations is "...a question of whether or not the researcher sees what he or she thinks he or she sees". These authors further indicate that, in terms of instruments used, "... a measurement procedure is said to have instrumental validity ... if it can be shown that

observations match those generated by an alternative procedure that is itself accepted as valid" (Kirk and Miller, 1986, p. 22). These two requirements can be addressed through multiple measures and as Argyris (1979), Gummesson (1991) and Yin (1984) have indicated, relating findings to prior research and theory.

To recapitulate, as indicated earlier in this chapter in relation to *multiperspectivism*, Macpherson (1990) has cautioned reliance on one tradition alone and have pointed to the value in research of recognizing strengths of each tradition. They argue that a *multiperspectivist* approach may be more useful and appropriate in structuring a framework for empirical study. Therefore, a relatively open approach, recognizing the two epistemological traditions, is taken in the present study.

Case Study Approach in Outline

The *case study* approach to research has been described by Burgess (1984), Gummesson (1991), Hagg and Hedlund (1978), McDonald and Walker (1983), Walker (1983), and Yin (1975; 1981; 1982; 1984). Brewer and Hunter (1989, p. 44) have used the term *field work* to encompass *case study* and claim that this is "... relatively confined to natural social settings, such as ... organizations". The choice of a *Case Study* over any of the other design options, such as, survey, experiment, history, archival analysis, is due to the nature of the research questions. The present study is *exploratory* and seeks to answer what Yin (1984) has described as *case study* type questions of *how* and *why* as well as *who*, *what* and *when*, within a relatively well developed theoretical framework. Furthermore, *case study* design is appropriate in the present study as no *control* over behaviour and events is needed and the concern is primarily with *contemporary*

phenomena in their real-life context (Yin, 1984). The design also permits the use of the *multiple sources of evidence* described below which allows the corroboration of information on behaviour and events from several perspectives, thus meeting requirements of *multiperspectivism*.

Gummesson (1991) has identified two forms of *case study*. One form uses multiple cases to determine general conclusions, in a similar approach to using a sample to generalize to a whole population. The other form uses a single case to arrive at specific conclusions which cannot be generalized to a population. Here the focus on a *single case study*, rather than *multiple case studies* is done for one major reason. Though the case is not unique, it is potentially *revelatory* in examining the research questions from the position of a relatively well formulated model on implementation planning by public organizations. The answers gained in this case, may be assumed to be more generally applicable theoretically as Yin (1984) has argued that *Case Study* findings are generalized to *theory* rather than to *populations* or *universes*, thereby contributing to the further development of the theory. Thus, a *single case study* can be a powerful design in answering the particular research questions posed in a specific organizational context because it *tests* existing, alternative theories in a relatively unique situation (Campbell, 1988f).

Unit of Analysis

The specific, single unit of analysis is the Board of Studies, New South Wales, Australia. The main characteristics of the Board described in Chapter 1 are restated and

elaborated in this section.

The Board of Studies, N.S.W., is a *statutory* authority which has been formed through the provisions of the *N.S.W. Education Reform Act* (1990) and which comes under the executive supervision of the N.S.W. Minister for School Education and Youth Affairs who is an elected member of the state parliament.

The functions of the Board are given in Appendix A1. Those of particular relevance to this research are the responsibilities of planning and design of the minimum curriculum required under statute for all students aged from six to 15 years, the development of syllabuses for Kindergarten to Year 12 (K-12) students, and credentialling and related curriculum in secondary education (*N.S.W. Education Reform Act*, 1990, Part 9, Para 102 (2) (a), (d), (f) to (k), (o), (p)).

New South Wales, like the other Australian states, has constitutional sovereignty in curriculum and credentialling policy formulation with respect to, and in the provision of primary (K-6) and secondary (7-12) school education (*Commonwealth of Australia Act, 1901* (as amended), Section 51; *New South Wales Constitution Act, 1902* (as amended); Parker, 1978, pp. 269-298). Historically, the government agency in N.S.W. which has been charged with this responsibility has been the state N.S.W. Department of School Education, known at various times as the Department of Public Instruction and the Department of Education, which also operates government schools.

The *N.S.W. Education Reform Act* (1990) has given the responsibility for planning and

design of curricula for government primary schools to the independent Board of Studies, N.S.W., whose Kindergarten to Year 6 syllabuses are freely available to both government and non-government schools and through which schools can meet mandatory curriculum requirements prescribed by the *Act*. Previously, state primary syllabuses were developed by the N.S.W. Department of School Education as systemic syllabuses. The Board has also replaced the former the Board of Secondary Education, which had already similar powers in the secondary school curriculum and in credentialling for secondary school students. Although there have been statutory curriculum and credentialling authorities for secondary education in New South Wales in the past, the *N.S.W. Education Reform Act* (1990) provides the basis for a single authority for the planning and design and monitoring of the curriculum from Kindergarten to Year 12 which does not also operate schools but represent all groups with interests in school level education.

The Board is serviced by its own public employees unlike previous Boards which were served by staff of the government schools system. There have been 204 full-time staff in June, 1991 (Board of Studies, *Annual Report*, 1991, p. 42) and 188 full-time staff in June, 1992 (Board of Studies, *Annual Report*, 1992, p. 54).

The Board has a wide range of *clients*. The main *client* groups are the government and non-government schools and school systems of the state of N.S.W. which use the syllabuses of the Board and implement programs leading to the award of one or more of the credentials administered by the Board as outlined below. The government school sector operates over 2,216 primary and secondary schools which cater for about 757,000,

or 72 per cent of the state's students (N.S.W. Department of School Education, *Annual Report*, 1992, p. 10) while the relatively large non-government school sector consists predominantly of systemic and non-systemic Catholic schools. The size of schools ranges from one teacher primary schools of less than ten pupils to secondary schools with over 1500 pupils.

As indicated in Table 1.2, over a million children follow the curriculum developed or endorsed by the Board. This curriculum is classified into six broad Key Learning Areas (K.L.A.) for primary schools (Kindergarten to Year 6) and eight broad Key Learning Areas for secondary schools which are described in the *N.S.W. Education Reform Act (1990)* and referred to earlier in Table 1.1

The secondary curriculum developed by the Board and immediate predecessors has consisted of 55 syllabuses for the School Certificate curriculum (Years 7 to 10) in 1991, increasing to 57 syllabuses in 1992 (Board of Studies, N.S.W., *Annual Reports*, 1991, 1992, 1993); and 112 syllabuses for the Higher School Certificate curriculum (Years 11-12) in 1991 increasing to 118 in 1992 (Board of Studies, N.S.W., *Annual Reports*, 1991, 1992, 1993). In addition, there are other courses developed by schools, particularly, for Years 11 and 12, which the Board endorses for the award of one of its credentials.

The Board of Studies, N.S.W., administers the award of a range of credentials in secondary education in New South Wales. The two main credentials are the *School Certificate*, awarded by meeting certain conditions after four years post primary (K-6) education and the *Higher School Certificate (H.S.C.)* awarded by meeting certain

conditions after two years education post *School Certificate*. Each of these awards also is complemented by a *Record of Achievement* which states the courses completed for the award and for each course a grade at the *School Certificate* and a mark for the *Higher School Certificate*. A *Year 11 Record of Achievement* is also awarded to students who complete the first half of the *Higher School Certificate* program satisfactorily and a *Special Record of Achievement* is available to students who are unable to meet the requirements of the syllabuses for the *School Certificate* because of permanent disability. The numbers receiving the *School Certificate* are 82,196 in 1990, 77,728 in 1991, and 77,151 in 1992; and those receiving the *Higher School Certificate* are 54,432 in 1990; 57,113 in 1991; and 60,481 in 1992 (Board of Studies, N.S.W., *Annual Reports*, 1991; 1992; 1993).

The Board of Studies, N.S.W., has a structure which consists of two discrete functional elements. First, there is the Board, formed under statute, consisting of 23 members representing certain groups which have interests in school level education. The membership of the Board is given in Appendix A2.

Second, there is the staff of the Board, employed either under the *N.S.W. Public Sector Management Act* (1988) or seconded from the teaching service in N.S.W. government schools. The staff organization is structured into branches. There are two divisions, each with a General Manager, with two branches each; two other branches directly under the supervision of the President; and a fourth group, formerly employed within the Board, but, from mid 1991, within the Ministry of Education and Youth Affairs as the Corporate Services Unit, consisting of administrative and financial services. The

structure is given in Appendix A3.

In addition, the Board is assisted by a relatively large number of people, either as employees or as volunteers, in carrying out its functions or in the consultative processes which it follows in curriculum and credentialling changes. It employs teachers and academics each year to mark its examinations. In 1990 these numbered 550 markers the School Certificate and over 5,300 for the Higher School Certificate (Board of Studies, N.S.W., *Annual Report*, 1991, p. 25f) while in 1991 these numbered 630 and approximately 6,400 markers respectively (Board of Studies, N.S.W., *Annual Report*, 1992, p. 32f).

The Board is also assisted over longer periods of time by individuals representing schools, universities, parents and teacher unions to work on examination and syllabus committees and committees which deal with specific issues or areas, such as, the education of the disabled and primary education which require representative and expert attention. Syllabus committees exist for each syllabus from Kindergarten to Year 12 and there is also an examination committee for each course for which there is a centrally set examination in the *School Certificate* and *Higher School Certificate* programs

Both the statutory Board and the staff unit of the Board of Studies, N.S.W., are managed by a President. The President chairs the Board meetings and represents the Board publicly; and is a member of a number of its committees. The President also is the chief executive involved in daily operational matters including the general management of the staff.

The President is directly responsible to the government for the operations of the statutory Board and the Board's staff unit. The President has a *Performance Agreement* with the Minister for School Education and Youth Affairs which details the areas of work to be undertaken by the Board for a particular period of time, usually one year. Appointment of the President follows open, competitive recruitment and selection for a contracted period. The other members of the statutory Board attend on a part-time basis, as required.

Research Questions in the Context of the Case Study

Three broad research questions together with a group of related specific questions developed in Chapter 2 and presented in Table 2.2, are rephrased to apply to the specific case study unit used in the present study. In the context of N.S.W. curriculum and credentialling reform policy, the operationalized research questions are given below.

What are the characteristics of the public policy implementation plans which have been developed by the Board of Studies, N.S.W. ?

This is a focus on *What* are the products of the implementation process. It brings together the questions drawn out of theory and prior research summarized in Table 2.2 on the *nature of implementation plans*. These specific questions are repeated here.

What types of implementation plans are evident ?

What are the relationships among the implementation plans ?

What are the relationships of the implementation plans and the public policy ?

What is the orientation of the implementation plans ?

How has the public policy implementation planning process been undertaken by the Board of Studies, N.S.W. ?

This is a focus on *How* the implementation planning process is undertaken. The questions identified in Chapter 2 and Table 2.2 are restated below.

What planning processes have occurred ?

To what degree is the planning process linear ?

What relationship exists among the components of the planning process ?

To what degree do the rational and interactive models of planning explain the implementation planning process ?

To what degree is the planning of the implementation of public policy relatively open or relatively closed ?

What factors influence the public policy implementation planning process undertaken by the Board of Studies, N.S.W. ?

This is a focus on *Why* the particular process has been undertaken. The key, specific questions are repeated.

What external environmental factors influence the public policy implementation planning process undertaken by the Board of Studies, N.S.W. ?

What internal organizational factors influence the public policy implementation process undertaken by the Board of Studies, N.S.W. ?

Although the questions contain general directions for enquiry, it has been considered that there has been a need to establish a more structured framework to allow a more effective focus in data collection and to economize in the use of time and other resources.

Consequently, these research questions have been addressed through a group of data collection questions which seek information in the context of the case study organization. An outline of the development of these is given in Appendix B1. The operationalized questions for use with each data collection instrument are given in Appendix B2.

In operationalizing the specific research questions on the *implementation planning process*, two questions appear to provide overlapping information: relationships of the components of the implementation process and the degree to which the process itself is linear. This potential multicollinear relationship of areas of enquiry is valuable in multiperspectivism. Empirically, data is to be collected for the two questions while keeping in mind their separate as well as their joint relevance. Consequently, the questions are discussed together in the findings.

Collection and Sources of Data

Data collection has been made using *interactive*, *semi-interactive*, and a *non-interactive* techniques which facilitate different conceptualizations of implementation planning undertaken by the Board of Studies, N.S.W. These three techniques are, respectively, *document analysis*; *interviews* with informants; and *modified participant observation*. All are described further below as *instrumentation*. This general approach using a variety of techniques continues the *multiperspectivism* discussed earlier in this Chapter and referred to by Burgess (1984), Evers and Lakomski (1991) and Macpherson (1990). Conceptually, while all three techniques focus on similar phenomena, each has qualities and other attributes which provide non-overlapping information and so add details not

available from the others. In using all three approaches, it is assumed, as described by Campbell (1988b), that a more accurate and reliable description of the phenomena is possible.

As indicated above, the *multiperspectivist* approach incorporating two epistemological traditions, however, seeks information of a different nature to that which can be gained through following a *logical-positivist* tradition in research alone. Furthermore, no attempt is made to collect *population* type data to arrive at descriptive and inferential statistical measures relating to policy implementation planning. Instead, each individual source of qualitative data is perceived as a contributor to a more complete description and understanding of policy implementation planning and to have various degrees of complementary relationships with other sources of data and with specific details of data. If data from different sources is in conflict, then this relationship is examined and evaluated for the contributions to the interpretations consistent with all data gained. It is also accepted that there could be certain *differences* across data from the three sources due to interactions of the sources with the researcher and due to the possibility of unrecognized parallax foci.

Instrumentation

As indicated in the previous section, the main *primary* sources of data and the main instruments of data collection are *document analysis*, *interviews*, and *modified participant observation*. These are described below. The focus of enquiry is the same across all sources of data though the *quantity* and *quality* of information differs between *interviews* and the other two. In the *interviews*, the focus is on the perceptions of the

researcher of the *perceptions* of the informants about planning and plans, and factors related to these, while in the other two the perceptions are those of the researcher alone.

Documents. The documents produced by, or about, implementation planning and plans are important sources of evidence in answering the three main and related specific research questions. Documents are a relatively permanent record of decision making and decisions which do not involve the weakness of interactive methods of data collection. They do rely, however, on perceptions of meaning as interpreted by the researcher.

There is a large range of published and unpublished documents analysed in the present *case study*. These include detailed, written descriptions of policies, policy statements, goals, emphases, and plans contained in separate documents, and references, both explicit and implicit, to policies and plans in *memoranda*, meeting details, letters, staff development notes, press releases, and agenda. Certain documents have been produced by organizations external to the Board, such as, the N.S.W. Office of Public Management. Other have been produced by the Board itself, some as *public*, others *inhouse*, documents which have been intended for use within the organizational structure of the Board.

The focus of the analysis of the documents has been the broad and specific research questions described above in Chapter 2 and earlier in this chapter and their operationalization into contextual questions common to all three methods of data collection given in Appendix B2.

Appendix C1 contains a list of documents related to planning undertaken by the Board of Studies, N.S.W., over the research period.

Appendix C2 contains the *Document Summary Form* used to record the information about the content and context of each planning related document prior to analysis.

A copy of the *Data Reduction Form - Documents* used to record key information relevant to the broad and specific research questions following analysis of the initial summary of each document is given in Appendix C3.

A summary of the data collected from documents is given in Appendix C4.

Interviews with Informants. The three broad research questions and the related specific research questions establish the directions of *semi-structured or focused* interviews with senior and middle managers of the Board of Studies, N.S.W., and with other key staff who are involved in planning, and with nine Board of Studies Liaison Officers, each of whom is the Board's representative in one of the regions of the state. The Board of Studies, N.S.W., has ten Liaison Officers, including the researcher who has responsibility for the South Coast Region.

Interviews have been frequently identified as a valuable data collection technique in research (Brown and Canter, 1985; Douglas, 1976, 1985; Weller and Romney, 1988; Punch, 1986; Stewart and Dasani, 1990). Gummesson (1991, p. 30) has argued that interviews, together with observation, "... provide the best opportunity for the study of

processes". Brenner, Brown and Carter (1985, p. 3) also contend that the interview "... allows both parties to explore meaning of questions and answers involved". This entails negotiation of understanding and the clarification of questions and answers which are misunderstood.

A list of the managers interviewed in the study is given in Appendix D1.

A copy of the *Interview Guide*, containing operationalized questions in Appendix B2, is given in Appendix D2. This *semi-structured* type of interview allows the exploration of relatively new directions which emerge during research but within a framework provided by theory and past research findings. Corruthers (1990) has argued that *semi-structured* interviews also permit a thorough understanding of informant opinions and reasons behind them. This type of interview is preferred here to either the *open* or *unstructured* interviews which are viewed as less reliable, or to *structured* interviews which tightly control the framework in which questions and responses are given.

The content of the interview has been predominantly the three groups of research questions described in Chapter 2 and repeated earlier in this Chapter with specific reference to the case study organization. To this has been added a description of the purpose of the research and the specific purposes of *interviews*. In all interviews, respondents have raised other related issues which they have perceived as relevant to planning which they individually have undertaken.

As indicated in Appendix D1, all of the informants are either staff of the Board, or staff

of the Corporate Services Unit of the Ministry of Education and Youth Affairs, with responsibilities in developing plans and management functions related to planning.

In most cases, each informant has been interviewed a number of times within the main research period.

Other staff of the Board of Studies, N.S.W., including Curriculum Officers and Policy Officers, and Section Leaders, have not been interviewed because, up to the end of 1992 which is the main period of research, these have not been required generally to develop separate written plans nor to be formally involved in planning, although staff in certain branches have contributed to planning decision making to varying degrees.

Although all staff in each category of management have been interviewed, only two of the 11 inspectors are included. This is because inspectors developed strategies for the Curriculum Development and Registration Branch in 1991 which were included collectively in the branch plan but were not required to develop *Management Plans* for their areas of responsibility until 1992 when a modification to the management structure was implemented as *Key Learning Area Teams*. Staff changes in the team of inspectors reduced the number available of those who had been involved over the full period of research.

The focus of each interview has been on both perception of *facts* and *opinions* of the informant about planning undertaken by the Board and about the context of planning.

The interviews have been conducted at the offices of the Board in North Sydney at times convenient to the informant and the researcher. All interviews have entailed initial recording of the details as written notes. It has been decided to use a written, rather than an electronic, record, such as, taping, because of two main reasons. First, it has been anticipated that informants would be asked questions about their position, and their personal commitments in their plans. They should feel relatively free to comment on a wide range of matters. As many of the management staff of the Board deal with matters of a sensitive nature, it has been decided to avoid using a method of data recording which could limit the range of responses. Second, in negotiation with the first group of informants, two indicated that they preferred not to be taped, but otherwise agreed to discuss all the issues raised. Thus, as it has been considered that it would be necessary to have a consistent approach to data collection, it has been decided to use notes alone with the provision of the complete set to the informant for comment. Each informant has been sent a copy of the detailed, re-written notes with a letter acknowledging their contribution and requesting that the notes be read to determine if there are any aspects which the informant believed are inaccurately reported. The majority of informants has also been asked to clarify a number of matters.

A total of 19 informants have provided additional information. Some of the additional materials include the clarification of statements and descriptions made during the interviews; others have included new information which has not been reported during the interviews.

A summary of the *Data Reduction Form - Interviews* used to record key information

relevant to the broad and specific research questions following analysis of the initial summary of each interview is given in Appendix D3.

A summary of data collected from interviews is given Appendix D4.

Modified Participant Observation. Both direct and indirect observation has been done as a *participant* contiguously both prior to the formation of the Board and throughout the entire research period. *Participant Observation* has been advocated by a number of authors as a valuable method (Bruyn, 1966; Garfinkel, 1967; Spradley, 1980). Silverman (1972, p. 190) has argued that *participant observation* is "... probably one of the most rewarding ... research technique..." because it describes "... unofficial practices and codes which are generally more significant in the lives of people than formal rules and constitutions". Burgess (1984, p. 78f) has indicated that *participant observation* allows the observer "... to get access to the meaning which participants assign to social situations..." but this is through the perception of the observer.

Junker (1960) has identified four types of roles of the *participant observer*. These are *complete participant* whereby the observer's role is concealed and the observer's perception of the whole organization may be limited by complete involvement in the activities of a particular group; *participant-as-observer* where the observer's role is not wholly concealed but is subordinate to activities as a participant; *observer-as-participant* where the observer's role is public and may not entail access to confidential information; and *complete observer* where there is no involvement in the activities of the group or organization.

Although it is not possible to match the role played by the researcher with any single one of the types of roles given by Junker (1960), it appears that elements of both the complete observer and participant-as-observer are present. The researcher has participated as a full-time employee of the organization working with organizational managers who have had complete knowledge that research was being undertaken. With the exceptions of interviews which have involved a number of formal arrangements, other forms of data collection have been relatively discrete.

However, there is one major modification to *participant observation* which has occurred. Although the researcher has been at liberty to move freely throughout the organization site for the entire research period, it has not been possible to observe all organizational planning for two reasons. First, because most planning has occurred across organizational sub-units simultaneously, it has not been practical to observe the development of all plans. Second, the researcher's status as a full-time, permanent organizational employee, as well as an observer, has also entailed meeting particular work related responsibilities. Nevertheless, meeting work related responsibilities has largely complemented, and interacted with, the observation role so that the data obtained has been comprehensive and of high quality.

The validity of the *participant observation* technique has been discussed by Bruyn (1966) and Weller and Romney (1988). In the present study, findings can be validated against theory and against prior research findings. Significantly, of the three forms of knowledge described by Rogers (1964) as *subjective*, *objective* and *phenomenological*, the *participant observation* brings together subjective knowledge, whereby the researcher

forms inner explanations for experiences and perceptions; and *phenomenological knowledge* which comes from interpersonal relationships.

The description of this data collection approach as *modified* is because the researcher has not *lived* within the main organization location in North Sydney, N.S.W. Not every aspect of organizational planning behaviour has been observed.

The focus of this data collection technique has been the same as that described above for *documents* and for *interviews*.

A list of formal participant observation activities is described in Appendices E1 and E2.

A copy of the *Participant Observation Summary Form* is given in Appendix E3. This indicates the structure of the *participant observation* process.

Appendix E4 contains the Data Reduction Form - Participant Observation used to record key information relevant to the broad and specific research questions following analysis of the initial summary of each participant observation activity.

A summary of the data collected from *participant observation* is given in Appendix E5.

Measurement

A *qualitative* approach has been undertaken after consideration of the relative strengths and weaknesses of quantitative and qualitative approaches earlier in this chapter. As a

case study is frequently interpreted as being related to theory rather than to populations or universes, it cannot be treated as a sample and techniques appropriate to samples and sampling are inappropriate. Furthermore, as a case study involves a single instance using multiple sources of information, the use of specific quantitative statistical techniques, especially inferential procedures, can be argued to be irrelevant.

Figure 3.1 depicts hypothetical relationships of the three sources of data. There are a number of important characteristics. First, there is some *common* information which can be gained from the three techniques collectively. Theoretically, if each technique is valid and a reliable instrument is used, there should be a very high degree of similarity in the data collected.

Second, there is some information which is common to pairs of techniques. The quality of such information could vary considerably.

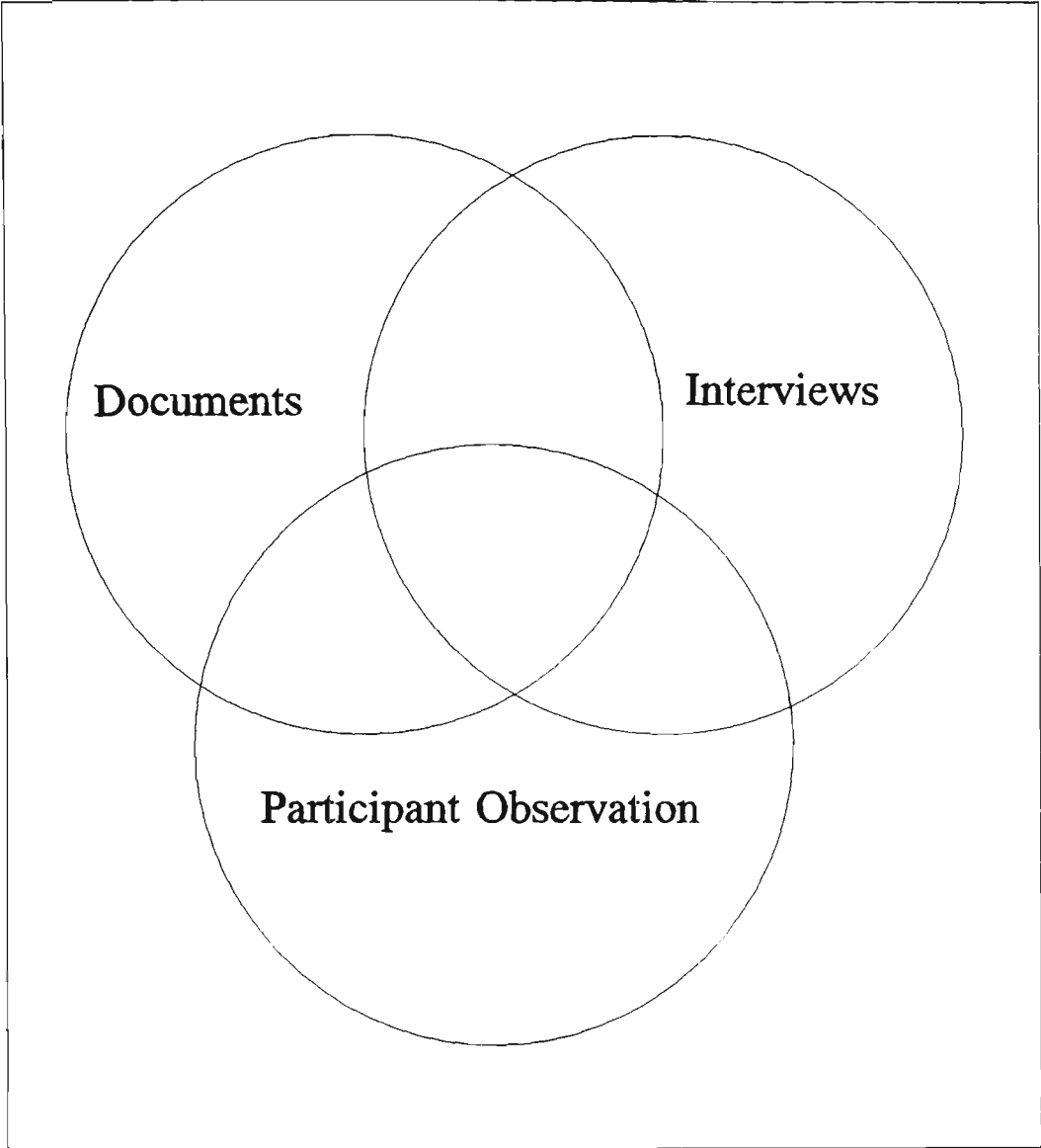
Finally, there is information which is unique to each technique. This could be because of the attributes of the technique or the artefacts of the interactions of the administration of the instrument with the environment.

However, these are *conceptual* relationships and do not indicate the magnitude of this association.

Analysis of Data

The analysis of the qualitative data collected has occurred in *four*, linearly related stages

Figure 3.1 Hypothetical relationship of observed phenomena obtainable from the three data collection instruments



drawn from examples given by Burgess (1984), Miles (1979), Miles and Hubberman (1984), Strauss (1987) and Yin (1984). The analysis process has been aided by the structure of data collection as broad and specific research questions developed from theory and prior research and operationalized as a set of contextual data collection questions given in Appendix B2, referred to above.

The first two stages involve focusing on each data collection technique separately. These stages entail, first, what Miles and Hubberman (1984, p. 21) refer to as *data reduction* whereby *whole* data as collected by each technique is reduced to a verbal summary of the essential elements and points classified using the structure provided by the research questions; and, second, the restructuring of the data including forming of visual and conceptual patterns within the data reduced from each method. As indicated above, Appendices C3, D3, and E4 respectively contain *Data Reduction Forms* for each of the three sources of data.

The third stage attempts to match patterns *across* techniques, an approach described by Cook and Campbell (1979) and Yin (1984). This leads to a corroboration of findings in one technique with those in another, and the recognition of findings unique to one particular technique. No data is discarded.

The fourth stage entails the statement of these *patterns* and *non-patterns* and a comparison of these with theoretical frames and previous empirical findings described in Chapter 2. This further involves determining the degree to which the patterns perceived through the analysis are consistent with related theory and related prior research findings

which have served as the basis of the broad and specific research questions.

Limitations of the Research

There are two groups of limitations of the study: conceptual and methodological.

Conceptual Limitations. Three conceptual limitations are evident. First, the *validity* of the policies or the policy formulation process is not studied specifically. It is beyond the scope and temporal resources of the present study to research it. No comment can be offered on the policy making process of government. Policies are assumed to be valid, well developed and unambiguous.

Second, *behavioural* aspects of policy implementation planning are not specifically studied formally. In the planning of policy implementation, behavioural aspects of organizational members as individuals and as a group need to be taken into account but because of the particular focus of the study it is not within the scope of the research to include this. However, there is consideration of behaviour insofar as providing for human dimensions in developing effective planning models and in the recording and analysis of the *perceptions* of management and planning staff about policies and planning, but no attempt is made to analyse associated behaviour from psychological or sociological perspectives or to determine the degree to which effective planning is associated with such factors as attitudes and values of organizational members.

Third, no attempt is made to determine the nature of the organization's *corporate culture* and the degree to which it affects policies and planning though it is accepted that

corporate culture affects planning and attitudes to planning. The term *corporate* is defined as *total organizational or system wide*. This definition reflects the concept of *corporate* described in a number of works, such as, those by Beringer, Chomiak, and Russel (1986), Higgins (1980) and Kilmann and Covin (1988) and must be distinguished from another application of the term sometimes used in planning contexts to imply a collective or group decision arrived at by negotiation. *Corporate culture* can only be addressed by a more detailed, separate study.

Methodological Limitations. The main methodological limitations are related to the *case study approach* used, the *data collection techniques*, both individually and collectively, and the choice of a *qualitative measurement*. First, sources of data for analyses are limited to available *published* and *unpublished* works about the topic area, published works sponsored or produced by the case study organization, interviews with personnel, and direct observation of organizational policies and practices. A significant fact is that many practices and implementation policies are not documented and only known to personnel through organizational socialization from interaction. This limitation is addressed, to a degree, through the researcher being an organizational member and through the technique of modified *participant observation* whereby much of the *unwritten* and changing aspects of implementation policies and practices are recognized.

Second, there are a number of *hypothetical limitations* in using the three data collection techniques individually and collectively which can be recognized in works by Burgess (1984), Brenner, Brown and Canter (1985), Campbell, Webb, Schwartz, Sechrest and

Grove (1988), Gummesson (1991) and Tesch (1990). Campbell, *et al.* (1988, pp. 72-93), bring together a group of criteria which can assist in recognizing and judging the limitations of each of the data collection techniques used in the present study. The terms used to identify these hypothetical limitations are modified here to encompass the *informant* or respondent, the *researcher* or investigator, *selection of sources of data*, *access* and *operating ease*.

Table 3.1 presents a matrix of these hypothetical limitations with each of the three data collection techniques and indicates the response to each limitation. Note that *interviews* appear to have the largest and most significant number of hypothetical limitations because of the *interactive* effects coming from the informant and researcher differences in perceptions of the context and content of interaction. However, Campbell, *et al.*, (1988, p. 93), in seeking a solution for the limitations of using a single method, such as interviews, has argued strongly

"... for a conceptualization of method that demands multiple measurement of the same phenomenon or comparison."

Third, there is an unknown degree of *selective* observation of planning. This is due in part to the relatively complex, hierarchically structured public organization in which the case study is being undertaken with the resultant tendency for many different planning activities to be done simultaneously by different managers. Only a limited range of policy implementation planning processes can be observed directly.

Table 3.1 Comparison of hypothetical limitations of the three data collection techniques used in the present study and how they have been addressed (after limitations described by Campbell, *et al.*, 1988, pp. 72-93)

Limitations	Researcher's Perception of Occurrence in the Present Study and Research Response		
	Interviews	Modified Participant Observation	Documents
Reactive Effects: Informant 1. Awareness of Being <i>Tested</i> (Campbell, <i>et al.</i> , 1988, pp. 73-75)	All informants were highly aware of their involvement in research. However, all informants were well known to researcher having established positive relations over a long period of time and all informants negotiated their involvement in interviews with the researcher. Each informant was given a transcript of their interview for verification. It was expected that each informant would contribute unique information and have some knowledge in common with other informants.	Highly unobtrusive. This technique entailed a relatively long term, continuity of observation in conjunction with work as a colleague and employee.	Majority of documents (e.g., legislation, reports, corporate levels plans, Performance Agreements, management plans) were developed without any intrusion of the researcher. Plans of Liaison Officers entailed some modification by the researcher as a participant because of the position held. These changes involved aligning Liaison Plans more closely with other plans in the hierarchy of plans as negotiated with senior management.
Reactive Effects: Informant 2. Role Selection (Informants select specialized behaviours from those available) (Campbell, <i>et al.</i> , 1988, pp.75-77)	Not evident in interviews. Semi-structured interviews provided scope for informant and researcher to explore a wide range of issues and to negotiate direction. The researcher could probe and refocus as appropriate.	Not evident in relatively natural setting.	The only documents potentially susceptible to this were those previously unknown to the researcher but provided by or from information given in interview. The latter were all consistent with other documents.
Reactive Effects: Informant 3. Measurement as Change Agent (Experience of what is interviewed, observed or examined - <i>practice effects</i>) (Campbell, <i>et al.</i> , 1988, pp. 77-78)	No evidence of <i>practice effects</i> . Each informant was interviewed thoroughly and relatively intensively on a limited number of occasions with different topics explored on each. There could have been effects from interviews with other investigators or researchers, such as journalists but this would appear to have had no significant effect in the specific context of the present study.	High probability of immunity to <i>practice effects</i> .	High probability of immunity to <i>practice effects</i>
Reactive Effects: Informant 4. Response Sets (Responding to particular cues) (Campbell, <i>et al.</i> , 1988, pp. 78-79)	Semi-structured interviews and the opportunity for informants to provide information freely yet to be directed by the researcher when necessary, together with the positive relationship between the researcher and informants appear to have reduced the risk of this effect.	No evidence of this effect.	High probability of immunity to this effect.

Table 3.1 Comparison of hypothetical limitations of the three data collection techniques used in the present study and how they have been addressed (after limitations described by Campbell, *et al.*, 1988, pp. 72-93) (Continued)

Limitations	Researcher's Perception of Occurrence in the Present Study and Research Response		
	Interviews	Modified Participant Observation	Documents
Reactive Effects: Researcher 5. Interviewer Effects (Characteristics of the Researcher) (Campbell, <i>et al.</i> , 1988, pp. 80-81)	<p>The researcher has attempted to minimize interviewer effects, by use of the same semi-structured interview schedule as a guide in all interviews and the use of the same procedure, including the provision of a transcript to each informant. However, effects unknown to the researcher could exist and contaminate data.</p>	<p>Highly unobtrusive in a natural setting. It is highly improbable that this technique entailed a <i>researcher effect</i>.</p>	<p>Majority of documents (e.g., legislation, reports, corporate levels plans, Performance Agreements, management plans) were developed without any intrusion of the researcher. Plans of Liaison Officers entailed some modification by the researcher as a participant because of the position held. Consequently, there is the probability that the researcher's character has influenced some plans and some planning.</p>
Reactive Effects: Researcher 6. Change in the Research Instrument (including adaptation of the researcher) May Alter Responses (Campbell, <i>et al.</i> , 1988, p. 81)	<p>There was a conscious attempt to reduce this risk. The same criteria were used within each technique and between techniques. However, the extent to which the researcher became fatigued or more competent resulting in adaptation in data collection has not been possible to determine.</p>	<p>There was a conscious attempt to reduce this risk. The same criteria were used within each technique and between techniques. However, the extent to which the researcher became fatigued or more competent resulting in adaptation in data collection has not been possible to determine.</p>	<p>There was a conscious attempt to reduce this risk. The same criteria were used within each technique and between techniques. However, the extent to which the researcher became fatigued or more competent resulting in adaptation in data collection has not been possible to determine.</p>

Table 3.1 Comparison of hypothetical limitations of the three data collection techniques used in the present study and how they have been addressed (after Campbell, *et al.*, 1988, pp. 72-93) (Continued)

Limitations	Researcher's Perception of Occurrence in the Present Study and Research Response		
	Interviews	Modified Participant Observation	Documents
Selection of the Sources of Data (Campbell, <i>et al.</i> , 1988, pp. 81-82, refer to this as <i>Varieties of Sampling Error</i>) 7. <i>Population Restrictions</i> (Campbell, <i>et al.</i> , 1988, pp. 82-84)	Not relevant. All managers were interviewed	A selective range of personnel involved in decision making on implementation planning was observed directly. There was also considerable indirect observation entailing the observation of the reporting of decisions.	With the exception of personal notes of managers and early drafts of some documents, it appears that all significant planning and planning related documents were identified, examined and analysed.
Selection of Sources of Data 8. <i>Population Stability over Time</i> (Campbell, <i>et al.</i> , 1988, pp. 84-85)	Though there were some changes to personnel over the study period, all key managers held the same position or a different one but within the organization.	Indirectly relevant to this technique. Participant observation entailed a dynamic context because of developmental character of implementation plans and processes.	Highly stable within the period of the study. Only the plans designated for review each year entailed change and each change tended to have a relatively uniform impact on plans and planning across the planning hierarchy.
Selection of Sources of Data 9. <i>Population Stability over Areas</i> (Between different sites) (Campbell, <i>et al.</i> , 1988, p. 85)	Assuming that <i>areas</i> can include different sub-units within an organization, a particular strength of the present study was that each informant was expected to provide information which would differ from other informants because of different levels of involvement in planning and differing knowledge bases. What appears to be a weakness in the conventional use of population type designs is a benefit to the approach in the present study	Similar position described under <i>Interviews</i>	Hypothetical differences in the content of documents as different <i>sites</i> would provide essential information on both perspectives taken by different authors of the documents and the dynamic nature of the context.

Table 3.1 Comparison of hypothetical limitations of the three data collection techniques used in the present study and how they have been addressed (after limitations described by Campbell, *et al.*, 1988, pp. 72-93) (Continued)

Limitations	Researcher's Perception of Occurrence in the Present Study and Research Response		
	Interviews	Modified Participant Observation	Documents
Access to Content 10. Restrictions on Content (Technique may not permit access to the type of information required) (Campbell, <i>et al.</i> , 1988, pp. 87-88)	Interviews in the present study focused on individual perceptions of plans, planning and factors influencing these. The expectation is that the information provided by those involved in planning would constitute fragmentary, not comprehensive and complete, descriptions because of differing levels of responsibility and participation in planning.	Similar principle referred to under "Interviews".	Similar principle referred to under "Interviews".
Access to Content 11. Stability of Content over Time (Campbell, <i>et al.</i> , 1988, p. 88)	The perceptions of informants could alter over time. This is acknowledged but the degree to which it might have occurred is not possible to determine accurately.	Similar principle referred to under "Interviews".	Because each document in itself is stable, it is interpretation by the researcher which may have been dynamic.
Access to Content 12. Stability of Content over Areas (Campbell, <i>et al.</i> , 1988, pp. 88-89)	In the present Case Study, this appears to have been already addressed above in the section on <i>Population Stability over Areas</i>	In the present Case Study, this appears already to be addressed above in the section on <i>Population Stability over Areas</i>	This appears to have been already addressed above in the section on <i>Population Stability over Areas</i>
Operating Ease 13. Dross Rate (Degree to which irrelevant information is present in the data collected) (Campbell, <i>et al.</i> , 1988, p. 89)	A semi-structured interview schedule to guide the process with feedback to informants before data reduction, together with the use of data reduction schedule common to all techniques has attempted to minimize this risk.	Use of a structured data collection schedule common to all techniques has attempted to minimize risk.	Use of a structured data collection schedule common to all the techniques has attempted to minimize risk.
Operating Ease 14. Ability to Replicate (Campbell, <i>et al.</i> , 1988, p. 90)	The semi-structured interview used in the present study could be used in other contexts with appropriate modifications. However, as the case study design focuses on a relatively single instance, no attempt is made generalize to other instances but instead to theory.	The semi-structured approach to participant observation used in the present study could be used in other contexts with appropriate modifications. However, as the case study design focuses on a relatively single instance, no attempt is made generalize to other instances but instead to theory.	The structured approach to data collection from documents used in the present study could be used in other contexts with appropriate modifications. However, as the case study design focuses on a relatively single instance, no attempt is made generalize to other instances but instead to theory.

Fourth, the government organization chosen for the exploratory case study analysis of policy implementation planning is not necessarily representative. Yin (1984) has argued that *representativeness* is not a necessary requirement of case study design as such a design seeks to generalize to theory not to populations or universes. The concept of *sample* as used in *scientific* research does not apply. Thus, the design requirements of surveys, experiments, and archival analyses with respect to validity and reliability are irrelevant to case study design as these essential elements are met by entirely different procedures. However, it is assumed that the results of the case study must be capable of contributing to theory on policy implementation planning.

Fifth, the case study design and the qualitative approach to measurement and data analysis employed have been identified by Gummesson (1991, p. 77) as being frequently judged as *inferior* to approaches based on random-statistical sampling of large numbers of observations. Hagg and Hedlund (1978) have specified three problem areas: that case studies lack statistical validity; that case studies cannot test hypotheses but can be used to generate theory; and that no generalizations to populations can be made. However, these *problems* have been recognized in the present study as concerns only if a *logical-positivist* epistemological tradition is followed alone because statistical sampling and statistical inferential procedures are not used. The research questions and the findings relate to theory and no generalizations to public policy implementation organizations can be made.

Sixth, the case study has been conducted over a relatively short period of 30 months which is of contrast with the reference of Scheirer and Griffith (1990, p. 176) to the

longitudinal nature of the implementation process. In keeping with this latter interpretation, Kirst and Jung (1991) have argued in support of long term, longitudinal case study design of ten years or more in implementation research. However, while a longitudinal design would be a valid approach for the study of the whole implementation process, it has been considered that such a design has not been appropriate in the present study because the focus has been on the planning of implementation of curriculum and credentialling reform policy as an initial step in converting policy intentions into a framework of guidelines and procedures for final implementation by schools and school systems.

The next three chapters present and discuss the findings about the three main research and the related specific questions using the methodology and epistemological traditions described in this chapter.

CHAPTER 4 POLICY IMPLEMENTATION PLANS

Overview

This chapter presents and analyses data on the first research question: *What are the characteristics of the public policy implementation plans which have been developed by the Board of studies, N.S.W. ?* This is done by, first, briefly examining the data obtained from each of the three main methods separately and, second, indicating from these three methods collectively the answers to the four specific research questions given in Table 2.2 and operationalized in Chapter 3. These specific questions are on the *types of implementation plans* developed by the Board and its staff; *relationships among the implementation plans*; *relationships of the implementation plans with the curriculum and credentialling reform policy*; and *orientation of the plans*. In answering these specific questions, the focus is on the formal outputs of the implementation planning system. A summary of data collected on implementation plans is given in Appendices C4, D4 and E5.

Evidence from the Sources of Data: Outline

Documentary Evidence. The main documents relevant to the broad research question discussed in this chapter are the plans developed by the Board and its staff, and certain other documents, such as the Board's *Annual Reports* for 1991, 1992 and 1993,

which describe the *Corporate Plan* and the Board's plans in general. A list of the main plans developed from July, 1990 to December, 1992, is given in Appendix C1. These documents reveal the characteristics of the plans, particularly the *nature of the content* and *structure*, but do not explicitly indicate relationships among the plans, relationships of the plans with the curriculum and credentialling policy, and the orientation of the plans, which consequently need to be identified both through analysis of data gained by other methods.

Interviews with Informants. Data gained from interviews largely corroborates the information contained in the documented plans. However, the interviews have provided considerably more information on the answers to the specific questions not evident in the documents, namely relationships among the plans, relationship of the plans and the policy and the orientation of the plans. This reflects the interactive character of the interview method whereby the research questions have been explored and the specific research questions have been the focus of detailed questioning and probing. An ancillary, but significant, role of the interviews has been the identification by more senior managers of *in-house* plans of units of the Board for which they have responsibility. Thus, the interviews have contributed to the recognition of the full range of implementation plans which have been developed, or which are in the process of being developed.

Modified Participant Observation. *Modified Participant Observation* has obtained data on the characteristics of certain of the implementation plans. This method has been selective insofar as it has focused first, on the main plans of the Board which

have affected all staff, that is, those developed as *corporate* level plans; and second, on the plans involving the researcher, namely, the researcher's own plan and those of personnel in similar positions, together with the plan of the General Manager, Curriculum, and the *Performance Agreement* of the President. These latter plans have had a direct linkage with the researcher's own plan. Other plans have not been observed individually, first, because they are either *unpublished* or not otherwise communicated to, or used throughout the Board by staff of other units; and, second, because of their *in-house* status whereby their relevance relates to the staff involved in developing them and the staff directly affected by them.

Types of Implementation Plans

A brief description of the main plans developed by the Board of Studies, N.S.W., and its staff, to implement N.S.W. curriculum and credentialling policy given in the *N.S.W. Education Reform Act* (1990) is indicated in Figures 4.1, 4.2 and 4.3, and in Table 4.1. Note that, in addition to these plans, there is also the plan for the *design* of the Board which as a *new* government organization, has required formal structuring and resourcing. This particular plan has been largely developed by the President (Interviews with the President, 13 November, 1991; 11 December, 1991) who has the responsibilities for the Board's operations under statute and for the design of the Board organization in order for it to operate. The *Carrick Report* (1989, p. 143) has recommended that:

"The President of the Board should be the Chief Executive Officer of the Board
... .

"The President should be the employer of the staff of the Board including professional staff, administrative staff, field officers, Board inspectors and casual

staff".

Five particular characteristics of these policy implementation plans collectively can be recognized. First, two different forms of plans are evident: those which relate to the *whole* organization as an entity, namely, the *corporate* and *strategic plans*, and those plans which relate to essential *personnel* and their personal responsibilities, such as *Performance Agreements* and *Management Plans*. These latter plans also relate to the operation of units within the organization.

Second, the plans, ostensibly, form a *hierarchy*. Plans are nominally linked so that the areas of content in lower level plans are dependent on the content of higher level plans for direction and, in turn, depend on the lower level plans for more specific details within defined areas of organizational responsibility. For example, the strategies in the *Strategic Plan* for the particular year are linked with the objectives in the *Corporate Plan*, and the targets in each *Performance Agreement* or *Management Plan* are linked with the relevant strategies given in the *Strategic Plan*. Together, the plans have directions for actions which are perceived by managers as necessary for effective implementation of the curriculum and credentialling reform policy. This characteristic is discussed further below in the section on *Relationships Among Plans*

Third, with the exception of the *Corporate Plan*, the documented plans have a similar internal structure. This consists of a columnar format showing *commitments* or *undertakings*, *actions* or *strategies*, *targets*, and *times* by which intended outcomes should be achieved. Examples of this structure are given as the *Structure of Plans of*

the Board of Studies, N.S.W., in Appendix G1, in the *Strategic Plan* contained in Appendix G4, and in the *Example of a Management Plan* given in Appendix G5.

Fourth, there is a focus on *outcomes* as objectives or targets. The main concern in each plan is with *what* is to be attained or achieved within a particular time frame. Examples are contained in the *Strategic Plan* given in Appendix G4 and the *Example of a Management Plan* given in Appendix G5, both of which contain targets.

Finally, each plan tends to have *minimal* information. As illustrated in the plans given in Appendices G4 and G5, little detail is given about *how* to implement the plan or *how* each outcome is to be achieved. The concern is with *what* is to be achieved. However, a significant difference between the plans presented in Appendices G4 and G5 is the degree of detail provided on targets and the range of organizational managers responsible for achievement of the target. The *Strategic Plan* describes briefly and in relatively general terms organizational targets and a particular manager or organizational unit responsible for each *target* separately. The *Management Plan* has more detailed, and more specific description of *targets* which are the personal responsibility of the manager. Each plan requires the manager responsible to use discretionary judgements regarding the actual practices needed to achieve *targets*. Consequently, lower level plans tend to identify specific events and times for reporting achievement of targets over a relatively short time frame.

Overall, there is a paucity of documentary evidence on details of actions required to implement plans.

Figure 4.1 Hierarchical relationships of plans of the Board of Studies, N.S.W., up to the time of the formation of the Corporate Services Unit in 1991. (Note: The levels of plans are not necessarily synonymous with ranks of incumbent managers)

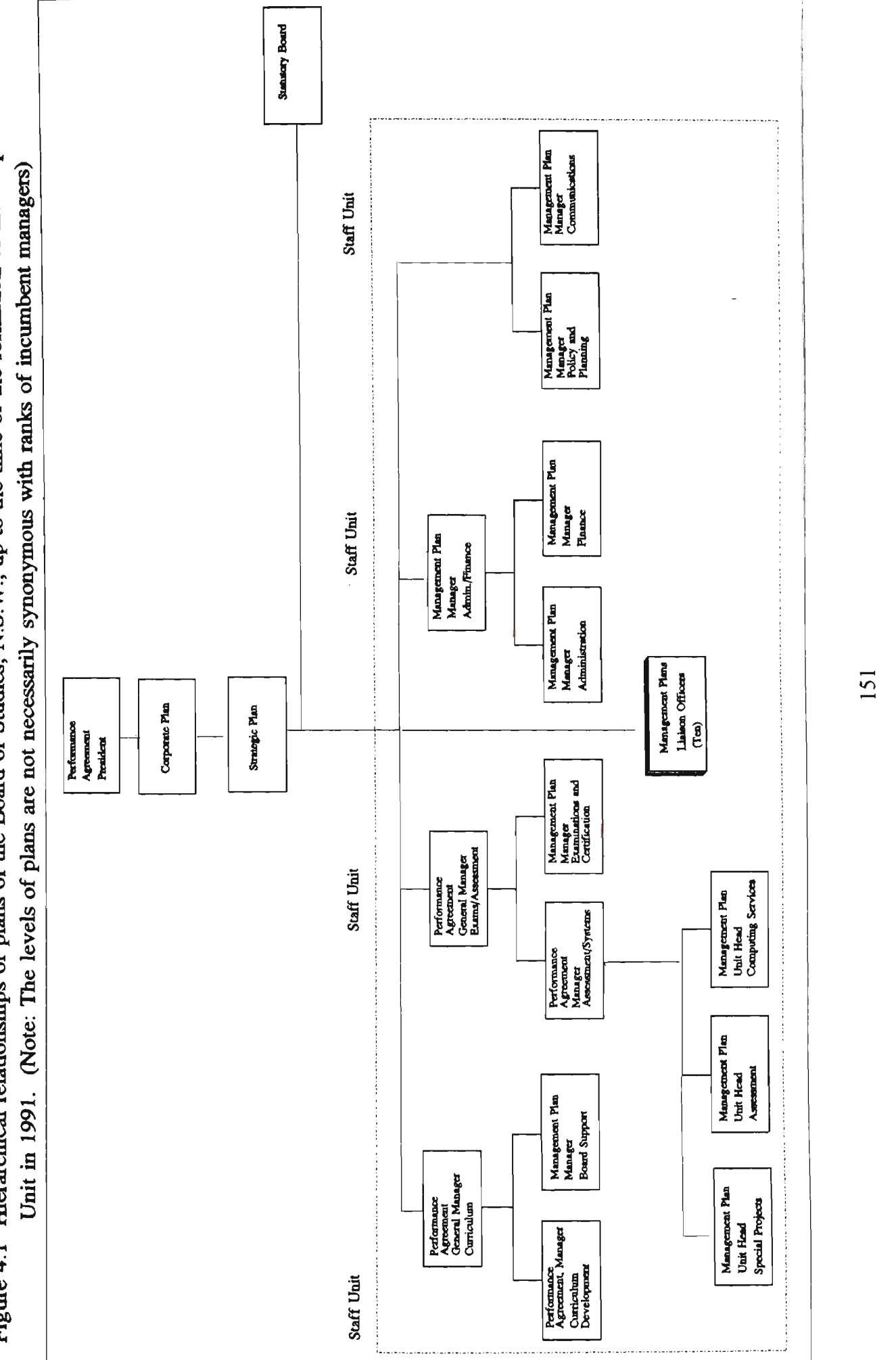


Figure 4.2 Hierarchical relationships of plans of the Board of Studies, N.S.W., after the formation of the Corporate Services Unit in 1991. (Note: The levels of plans are not necessarily synonymous with ranks of incumbent managers.)

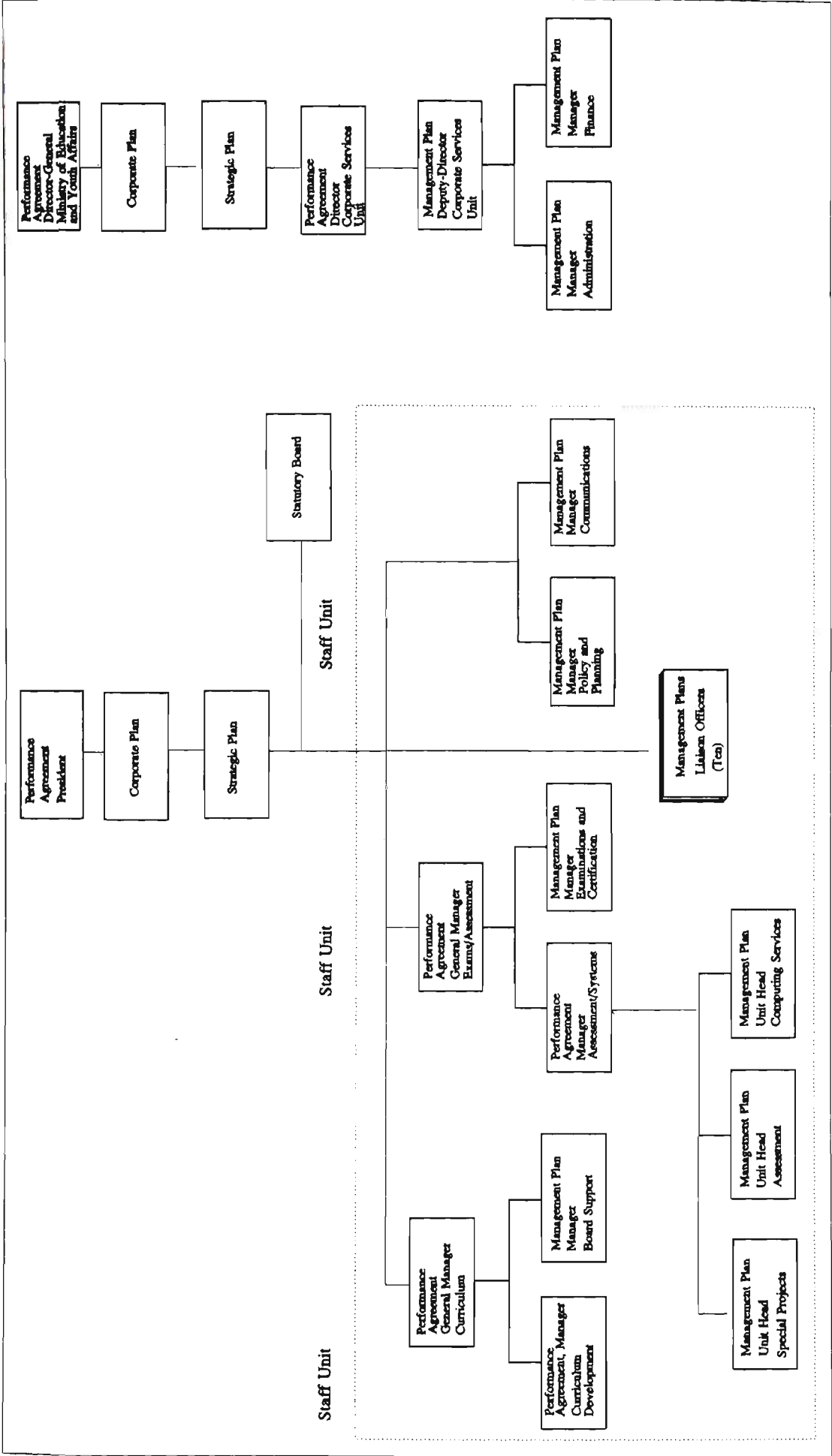


Figure 4.3 Hierarchical relationships of plans of the Board of Studies, N.S.W., after the formation of the Product Development and Marketing Unit in late 1991. (Note: The levels of plans are not necessarily synonymous with ranks of incumbent managers)

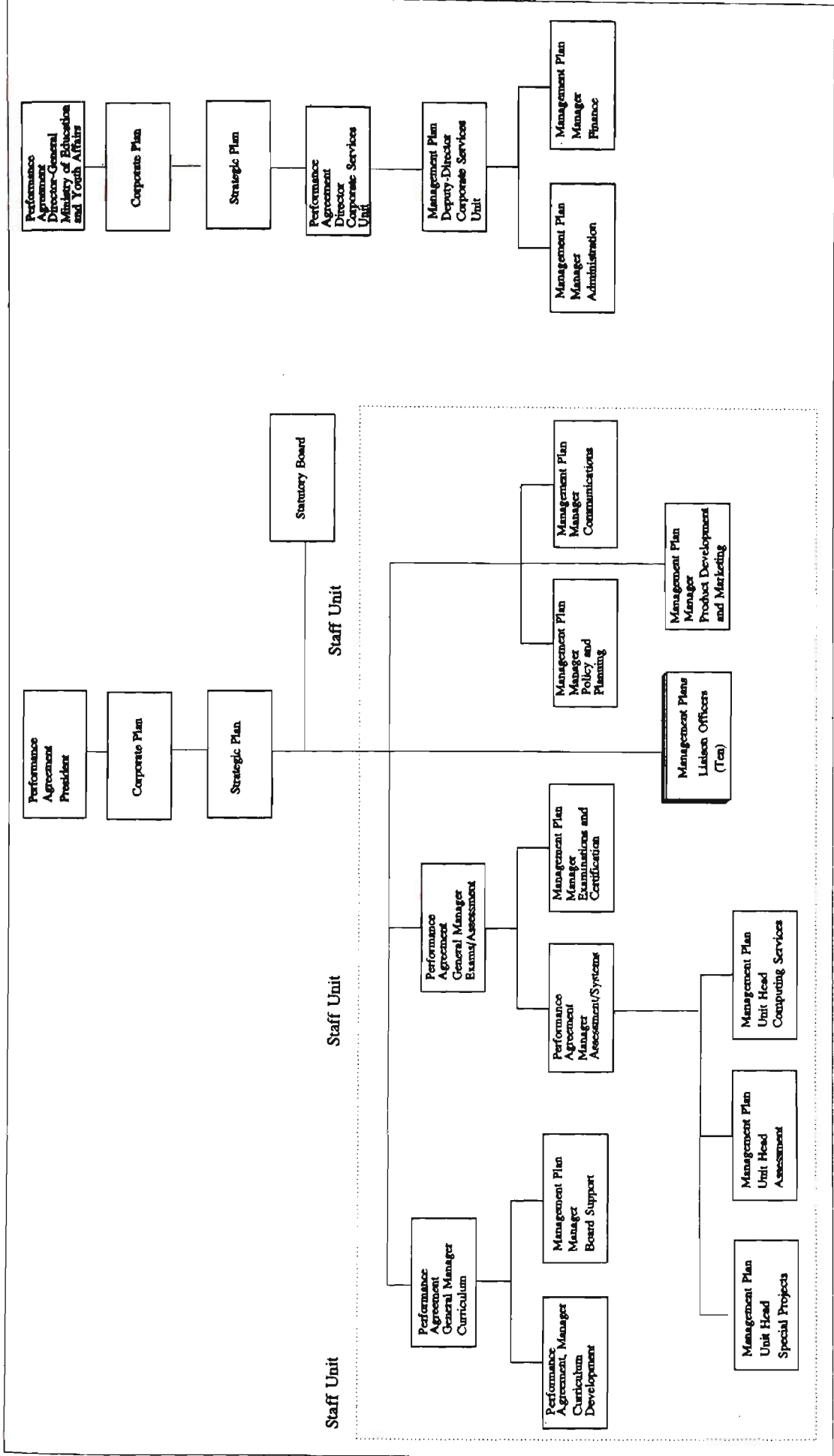


Table 4.1 The main plans of the staff of the Board of Studies, N.S.W. (Abbreviation Key: B.O.S.L.O. - Board of Studies Liaison Officer)

Plan Category		Plan Name	Developed by	Purpose	Time Frame
Corporate	Corporate		Board/Senior Staff in 1990-1991; amended during 1992	Identifies what the Board of Studies does by stating its Mission and 16 Corporate Objectives in 1991 and 12 in 1992-93	10 years
Corporate	Strategic		Initial plan developed by Board/ Senior Staff November, 1990-July, 1991; amended with higher level of staff involvement in late 1991 and 1992. In last two versions further amendments occurred following requests by Minister	States how the Corporate Mission and Objectives will be put into practice by identifying strategies and personnel responsible	1-3 years
Corporate	President's Performance Agreement		President - agreement with Minister for Education and Youth Affairs	States the undertakings and actions agreed to by President and Minister	1 year plus
Divisional	Performance Agreement of General Manager, Curriculum		General Manager - agreement with the President	States the undertakings and targets	1 year plus
Divisional	Performance Agreement of General Manager, Examinations and Assessment		General Manager - agreement with the President	States the undertakings and targets	1 year plus
Divisional	Performance Agreement of Director, Corporate Services Unit		Director - agreement with Director-General, Ministry - concurrence of President of the Board for areas relating to Board's operations	States the undertakings and targets	1 year plus
Branch	Performance Agreement of Manager, Curriculum Development and Registration (1990/1991); Manager, Product Development and Marketing (1991/1992)		Manager - agreement with General Manager, Curriculum (1990/1991); and President (1991/1992)	States undertakings and targets	1 year plus
Branch	Performance Agreement of Manager, Assessment and Systems		Manager - agreement with General Manager, Examinations and Assessment	States undertakings and targets	1 year plus
Branch	Management Plan, Manager, Policy and Planning		Manager - negotiated with President	States undertakings and targets	1 year
Branch	Management Plan, Communications		Manager - negotiated with President	States undertakings and targets	1 year
Branch	Management Plan, Manager, Administration		Manager - negotiated with the Manager, Administration and Finance (1990/1991); and with Deputy Director, Corporate Services Unit, 1991/1992	States undertakings and targets	1 year plus

Table 4.1 The main plans of the staff of the Board of Studies, N.S.W.(Continued)

Plan Category		Plan Name	Developed by	Purpose	Time Frame
Branch		Management Plan, Manager, Finance	Manager - negotiated with Manager, Administration and Finance (1990/1991); and with Deputy Director, Corporate Services Unit, (1991/1992)	States undertakings and targets	1 year plus
Sub Divisional		Management Plan, Administration and Finance (1990-mid 1991); Deputy Director Corporate Services Unit from mid 1991	Manager with feedback on development from subordinate managers - negotiated with President (from 1990-mid 1991); then with Director, Corporate Services Unit (from mid 1991)	States undertakings and targets	1 year plus
Branch		Management Plan, Examinations and Certification	Manager - negotiated with General manager, Examinations and Assessment	States undertakings and targets	1 year
Branch		Management Plan, Board Support	Manager - negotiated with General Manager, Curriculum	States undertakings and targets	1 year
Liaison		Management Plan, Board of Studies Liaison Officer, Metropolitan North	B.O.S.L.O. alone but with some ideas shared with other B.O.S.L.O.s initially	States undertakings and targets	1 year
Liaison		Management Plan, Board of Studies Liaison Officer, Metropolitan East	B.O.S.L.O. alone but with some ideas shared with other B.O.S.L.O.s initially	States undertakings and targets	1 year
Liaison		Management Plan, Board of Studies Liaison Officer, Metropolitan West	B.O.S.L.O. alone but with some ideas shared with other B.O.S.L.O.s initially	States undertakings and targets	1 year
Liaison		Management Plan, Board of Studies Liaison Officer, Metropolitan South West	B.O.S.L.O. alone but with some ideas shared with other B.O.S.L.O.s initially	States undertakings and targets	1 year
Liaison		Management Plan, Board of Studies Liaison Officer, North Coast	B.O.S.L.O. alone but with some ideas shared with other B.O.S.L.O.s initially	States undertakings and targets	1 year
Liaison		Management Plan, Board of Studies Liaison Officer, North West	B.O.S.L.O. alone but with some ideas shared with other B.O.S.L.O.s initially	States undertakings and targets	1 year
Liaison		Management Plan, Board of Studies Liaison Officer, Western	B.O.S.L.O. alone but with some ideas shared with other B.O.S.L.O.s initially	States undertakings and targets	1 year
Liaison		Management Plan, Board of Studies Liaison Officer, Riverina	B.O.S.L.O. alone but with some ideas shared with other B.O.S.L.O.s initially	States undertakings and targets	1 year
Liaison		Management Plan, Board of Studies Liaison Officer, Hunter	B.O.S.L.O. alone but with some ideas shared with other B.O.S.L.O.s initially	States undertakings and targets	1 year

Table 4.1 The main plans of the staff of the Board of Studies, N.S.W.(Continued)

Plan Category		Plan Name	Developed by		Purpose	Time Frame
Liaison		Management Plan, Board of Studies Liaison Officer, South Coast	B.O.S.L.O. alone but with some ideas shared initially	with other B.O.S.L.O.s	States undertakings and targets	1 year
Sub Branch		Management Plan, Unit Head, Special Projects	Unit Head in conjunction with Branch Manager, Assessment and Systems		Indicates areas of projects	3-6 months
Sub Branch		Management Plan, Unit Head, Assessment	Unit Head in conjunction with Branch Manager, Assessment and Systems		Indicates routines and areas of work	3-6 months
Sub Branch		Management Plan, Unit Head, Computing Services	Unit Head in conjunction with Branch Manager, Assessment and Systems		Indicates routines and areas of work	3-6 months

The plans have a nomenclature formally described by the N.S.W. Office of Public Management of the Premier's Department and used throughout the public organizations in the state (N.S.W Office of Public Management, *Strategic Management Brief*, 2, 1990; 3, 1990; 6, 1991 and 1992; and N.S.W. Office of Strategic Planning, 1991). These are *Corporate and Strategic Plans*; *Performance Agreements*; and *Management Plans*.

As indicated above, there are two broad forms of implementation plans which have been recognized in the analysis: *organizational plans* which relate to the whole organization, including actions to be undertaken by the Board, and *plans which relate to specific managers and their responsibilities*, encompassing their personal commitments. These are briefly described below along with the relationships between them and between each plan and the curriculum and credentialling reform policy.

Corporate Plan and Strategic Plan. These are *organizational* plans which describe goals and actions for the Board of Studies, N.S.W., as a whole. It is expected that these plans follow guidelines given in N.S.W. Office of Public Management documents (N.S.W Office of Public Management, *Strategic Management Brief*, 2, 1990; 3, 1990; 6, 1991 and 1992; and N.S.W. Office of Strategic Planning, 1991, *Making the Strategic Management Cycle Work*).

The *Corporate Plan* indicates *what* the Board does as an organization and expresses the long-term goals as a *Mission Statement* and *Corporate Objectives*. It reflects the expectations of the government for the Board given in the *N.S.W. Education Reform Act*, (1990).

Corporate plans have been expected of N.S.W. government organizations since 1974 (Wilenski, 1980, p. 75) and this expectation has been reaffirmed in guidelines given in documents of the N.S.W. Office of Public Management of the Premier's Department (*Strategic Management Brief*, 3, 1990; 6, 1991 and 1992; Premier's *Memorandum*, No 91-28, 1991, p. 9) referred to above.

Using the classification of plans described by Jantsch (1973) outlined in Chapter 2, the *Corporate Plan* may be described as *normative* because it is a set of criteria or standards against which the actions of the Board may be judged. It is a public document and the only plan officially available to *outsiders* (Interview with President, 13 November, 1991; Interview with Manager, Policy and Planning, 31 October, 1991) to indicate the purpose of the Board and the general directions the Board is following or goals the Board seeks. The first *Corporate Plan* has been developed in the period from October, 1990, to July, 1991, by the Board members and the senior management staff and has had 16 corporate objectives. It has undergone a major change over the period of the study, namely, the modification of the original 16 *corporate objectives* to 12 *corporate objectives* in 1992-1993. A copy of the original *Corporate Plan*, and a copy of the amended *Corporate Plan* are contained in Appendix G2 and G3 respectively.

The *in-house Strategic Plan* contains the strategies which show *how* the Board will meet its *Corporate Objectives* given in the *Corporate Plan* in the short-term of from one to three years. It also contains *targets* to be met at particular points in time. A copy of the original *Strategic Plan* of the Board is given in Appendix G4.

The initial *Strategic Plan* has been developed concurrently with the *Corporate Plan* and has been amended following evaluation and further environmental analysis in the latter part of 1991 and again in the latter part of 1992. As part of the annual planning cycle described further below, the Board and its staff have undertaken additional developments of the plan in 1991 to address specific areas after the draft for 1991 had been evaluated by the Minister (Interview with the President, 11 December, 1991; Interview with Head, Policy and Planning, 11 December, 1991). The 1991-1992 Strategic Plan has also been also been evaluated and re-designed in the latter part of 1992. This process is discussed further in Chapter 5.

The structure of the *Strategic Plan* is similar to all other plans which have *targets*. This reflects the guidelines of the N.S.W. Office of Public Management referred to earlier in this chapter (*Strategic Management Briefs*, 2, 1990; 3, 1990; 6, 1991 and 1992).

Performance Agreements (Plans). Each senior management staff member of the Board of Studies, employed in the Senior Executive Service (S.E.S.) of the state public service is required to enter into a *Performance Agreement* with the respective supervisory manager (N.S.W. Office of Public Management, 1989, *Senior Executive Service*; *Strategic Management Brief*, 2, 1990). In the case of the President of the Board, this is with the Minister for Education and Youth Affairs. The *Agreements* are predominantly plans structured to indicate *undertakings* or *commitments* the manager has agreed to meet, and the *actions* and *targets* for each year to be reviewed each three monthly period with the supervisory manager.

As well as being contracts, *Performance Agreements* constitute the plans for the areas of responsibility of the manager in that they contain the Divisional or Branch targets which the subordinate managers must take into account in developing their own plans and all staff of the unit are expected to work toward.

Five staff of the Board have had *Performance Agreements* over the period of observation in 1990, 1991 and 1992. There is the President whose agreement has been with the Minister; the General Manager, Curriculum, and the General Manager, Examinations and Assessment, whose agreements have been with the President; the Branch Manager, Assessment and Systems, whose agreement has been with the General Manager, Examinations and Assessment; and the Branch Manager, Curriculum Development and Registration, who, in 1990 and 1991, has had an agreement with the General Manager, Curriculum, but who has subsequently become Manager, Product Development and Marketing, in late 1991, with an agreement with the President.

The Director of the Corporate Services Unit, which is a division of the Ministry of Education and Youth Affairs providing essential administrative and financial services to the Board, has had a *Performance Agreement* with the Director-General of the Ministry. This has also entailed the concurrence of the President of the Board of Studies in the areas affecting Board plans and operations. The Corporate Services Unit has been established in mid 1991 through the amalgamation of the Financial and Administrative units of the Board and similar units of the Ministry of Education and Youth Affairs.

Management Plans. *Management Plans* have been required of Branch

Managers not employed in the S.E.S., and the Board of Studies Liaison Officers, since the establishment of the Board in 1990. Initially, this was a decision of the President and divisional managers and continued practices which have occurred in many public organizations. But, following Premier's Memorandum No 91-28, this requirement has been extended to all management personnel employed in N.S.W. government departments and authorities. This decision has been implemented progressively within the Board commencing with the Board Inspectors in early 1991 and Unit Heads in the latter part of 1991.

The structure of *Management Plans* and *Performance Agreements* is similar. This is illustrated in Appendices G1 and G5.

Relationships Among Implementation Plans

Figures 4.1, 4.2 and 4.3, and Table 4.1 above also indicate relationships among the plans. There are two particular characteristics referred to earlier which will be described here.

Plans Constitute a Hierarchy. There is a *hierarchical* relationship among the plans which is based on the hierarchical management structure of the Board's staff unit developed by the President. Apart from the *Corporate* and *Strategic Plans*, the individual plans are specifically related to the organizational responsibilities of the incumbent managers and are titled in terms of each manager's function. For example, the plan for the Curriculum Division is the *Performance Agreement* of the General Manager, Curriculum; and the plan for the Curriculum Development and Registration

Branch is the *Performance Agreement* of the Manager.

As a group, the plans are, ostensibly, *vertically* linked. In 1990, there have been four groups, or sub-hierarchies, of vertically related plans: plans of the Curriculum Division; plans of the Examinations and Assessment Division; plans of the Policy and Planning Branch and the Communications Branch; and plans of the Administration and Finance Division. As indicated earlier, in mid 1991, the Administration and Finance Division was amalgamated with a similar unit of the Ministry of Education and Youth Affairs to form branches of the Corporate Services Unit under the management of the Director-General of the Ministry. This unit is no longer part of the structure of the Board but is integral to its implementation of government policy. The plans of all units of the Board are linked with operations of the Corporate Services Unit.

Another structural change has occurred in late 1991. The Product Development and Marketing Unit has been formed as a response to Ministerial expectations for a degree of self funding and the Board's recognition that it could only achieve its targets during a period of reduction in funding through entrepreneurial activities. This unit has been under the direct supervision of the President.

Consequently, since the end of 1991 there have been four groups of sub-hierarchies within the Board organization, and one sub-hierarchy within the Ministry of Education and Youth Affairs which provides the financial and administrative support to the Board.

Within each of these groups, the plans have been designed to contribute to the targets of

the respective Divisions except for the non divisional Branches under the supervision of the President which relate directly to the corporate level objectives and strategies and the President's *Performance Agreement*. The divisional plans have been designed to contribute to the achievement of the goals of the entire organization (Interview with the President, 11 December, 1991; Interviews with the General Manager, Curriculum, 19 November, 1991 and 9 December, 1991; Interview with General Manager, Assessment and Examinations, 19 March, 1992).

There have been different perceptions described in interviews of the relationship of plans. Each plan has been reported by senior management as being essential to the Board carrying out its functions. In contrast, a number of middle managers interviewed reported a weak relationship between their plans and other plans, especially with the *Corporate Plan*. Two particular Branch Managers reported that the *Corporate* and *Strategic Plans* did not relate directly to these areas of responsibility of the manager because the corporate level plans focused on *initiatives* and not *routines* which are the main areas of work of the particular branches (Interview with Branch Manager, Board Support, 22 January, 1992; Interview with Branch Manager, Examinations and Certification, 7 January, 1992).

In more general terms, there is a perception that there is a high degree of interdependence of the plans. Each plan is agreed to by the incumbent manager and the immediate superior manager, and for all Branch Managers, there is also an agreement with the President both in the initial development and in reviews. Thus, the President, who has a *Performance Agreement* with the Minister (Interview with the President, 11

December, 1991), is also involved with some degree of negotiation for all plans in the *hierarchy* down to, and including, Branch level. It is only Board of Studies Liaison Officer Plans and Unit and Section Plans which do not directly involve the President. These plans are approved by the managers of their respective groups (Interview with Branch Manager, Assessment and Systems, 31 January, 1992; Interview with General Manager, Curriculum, 9 December, 1991; and Observations, December, 1990 to December, 1992).

Consequently, the plans in the hierarchy are not only nominally but also actually related. Each plan is, to varying degrees, dependent on the plan immediately above for the *targets*, and with the plan immediately below for more specific direction of actions to achieve the *targets*. For example, the Unit Head, Assessment, reported in interview (13 April, 1992) that the unit management plan depended on, and has been linked with the content and structure of the President's *Performance Agreement*, the *Strategic Plan* and the *Performance Agreement* of the Branch Manager, Assessment and Systems. A similar type of relationship has been reported frequently in other interviews. Thus, all plans, no matter how remote hierarchically, are perceived as contributing to the corporate mission and the achievement of corporate objectives and have been reported this way by the senior executive (Interview with the President, 11 December, 1991; Interview with the General Manager, Curriculum, 19 November, 1991; Interview with the General Manager, Examinations and Assessment, 19 March, 1992; Interviews with Individual Branch Managers, 7 January, 1992; 31 January, 1992; 7 January, 1992; 31 October, 1991; 11 December, 1991; 30 January, 1992; 18 February, 1992; 13 April, 1992; 12 November, 1992). This relationship is consistent with the approach taken by

the President at the initial planning conference of 14 and 15 November, 1990, who has sought to maintain a strong *linear* relationship among the plans. The latter characteristic is discussed further in Chapter 5.

However, the relationship among the plans may be interpreted as a consequence of, not a determinant of, the hierarchy. Thus, it can be argued that a different management structure may have resulted in differences in the relationships among plans. An implication is that if other structural changes occur in the organization, then so too could relationships among the plans.

There is evidence from all three sources of data of both the *linearity* and *non linearity* of relationship among the plans. The formal, hierarchical model of the relationships implies that the plans are *linearly* related. Observation of planning related practices over the period June, 1990 to December, 1992, analysis of plans listed in Appendix C1 and interviews with informants listed in Appendix D1 support this. The plans have targets and structures which are clearly related in terms of intentions and this close relationship is further supported by the process of negotiation between each manager and the supervisory manager to ensure a high level of compatibility.

The *linearity* of relationships can be demonstrated by taking one corporate objective and showing how plans at different levels reflect it. This is given in Table 4.2.

Nevertheless, there is evidence of *non linear* relationships existing concurrently with the formal *linear* relationships described above and indicated in Figures 4.1, 4.2 and 4.3.

Examples have come from a number of observed practices over the period July, 1990 to December, 1992, and from *interviews* (Interview with Branch Manager, Communications, 7 January, 1992; Interview with Branch Manager, Examinations and Certification, 7 January, 1992). They have also been identified in documents analysed. First, *non-linear* relationships are exemplified in the development of certain *Performance Agreements* and *Management Plans* in late 1990 and early 1991, independently of, and prior to, the finalizing of the corporate level plans but with varying degrees of knowledge of early drafts of these in several cases. Second, there has been the retention of certain plans in the latter part of 1990 which had been developed earlier by staff of the then Statutory Board Directorate of the N.S.W. Department of School Education which served the Board of Secondary Education prior to the establishment of the Board of Studies (Observation of plans of Regional Field Officers, 1990; Interviews with Board of Studies Liaison Officers, 18 February, 1992; 30 January, 1992; 31 January, 1992; 11 December, 1991; 12 December, 1991; 24 March, 1992; 1 June, 1992; 7 August, 1992; Interviews with Branch Manager, Examinations and Certification, 7 January, 1992). Finally, there has been the development of certain *Management Plans* using different criteria from those indicated in the corporate level plans because it has been perceived that corporate level plans contained relatively little content specifically relevant to the areas of responsibility of those officers of the Board of Studies (Interview with Branch Manager, Communications, 7 January, 1992; Interviews with Board of Studies Liaison Officers, 18 February, 1992; 30 January, 1992; 31 January, 1992; 11 December, 1991; 12 December, 1991; 24 March, 1992; 1 June, 1992; 7 August, 1992; Interview with Branch Manager, Board Support, 22 January, 1992; 29 January, 1992). As already indicated, it has been reported in interviews with two Branch Managers that the

Table 4.2 Illustration of linearity of relationship of one corporate objective, related strategic targets and related president's undertakings given in the hierarchy of plans

Corporate Plan (July, 1991)	Strategic Plan (July, 1991)	President's Performance Agreement (1990-1991)
<p>Objective 1:</p> <p><i>To develop or endorse courses to meet the needs of the full range of students in a changing social, economic and technological environment</i></p>	<p>Target 1.1: By 1993 the Board will have completed its review of all key learning areas to ensure that there are courses appropriate for a full range of students</p> <p>Target 1.2: By 1993 the Board will have developed or endorsed additional courses to cater for the broader range of students in Years 11/12</p> <p>Target 1.3: By 1992 the Board will have determined its requirements for the study of elective courses and review the range of elective courses offered in each KLA</p> <p>Target 1.4: From 1991 the Board's syllabus writers will focus on developing in students the skills of literacy (reading and writing) and numeracy to the highest possible level and incorporate the skills of thinking, planning, co-operating, communicating, organizing, problem solving into all syllabuses</p> <p>Target 1.5: By 1996 the Board will have in place all the syllabuses required by <i>Excellence and Equity</i></p> <p>Target 1.6: By 1992 the Board will have developed a conceptual framework on its approach to vocational and general education</p> <p>Target 1.7: By 1996 to respond to increased retention in 15-18 age bracket the Board will offer a wide range of courses for post-compulsory schooling with cross-accreditation</p>	<p>Undertaking:</p> <p>Implementation of the Government's curriculum decisions in Excellence and Equity, the N.S.W. Education Reform Act (1990) and Carrick Report (September, 1989), particularly relating to:</p> <ul style="list-style-type: none">* successful development of new syllabuses in Technology and Design, Personal Development, Health and Physical Education for 1991* successful development of K-12 perspectives in all Key Learning Areas* successful introduction of new primary syllabuses:<ul style="list-style-type: none">* K-6 English, Science and Technology for 1991* Human Society and Its Environment, Personal Development, Health and Physical Education for 1992* Creative and Practical Arts for 1993* re-design of syllabuses on the basis of outcomes, ability levels and more flexible time allocations* development of curriculum guidelines for students with mild and moderate intellectual disabilities* exploration of the ways in which the Board of Studies can improve the links between early childhood education and primary education* development and distribution to schools of high quality curriculum support materials* development of policies which will facilitate further links between secondary education and T.A.F.E. including the granting of credit by T.A.F.E. for Board courses* development of curriculum materials to assist Aboriginal students and development of curriculum resources for use in the teaching of Aboriginal Studies* promotion of the provision of education in schools to equip students to acquire a vocation* development of new courses in priority languages* development of new courses in Creative Arts: Dance Years 11-12, Drama Years 11-12 and Classical Ballet for Years 7-10 and Years 11-12* development of Australian Studies courses for Years 7-10 and Years 11-12

respective supervisory managers accepted the reasons for using a different model because the corporate level plans have tended to focus on curriculum and credentialling *initiatives* and neglected organizational *routines* with which the branch managers have been involved.

The assertion that the corporate level plans of the Board tend to ignore or neglect other aspects of public policy expected to be implemented by certain staff through *routines* and standing procedures is relevant to the notion of *non linearity* of relationships among plans. This issue has been raised in interview (Interviews with Branch Managers, 31 October, 1991; 12 November, 1992; 11 December, 1991; 7 January, 1992; 30 January, 1992; 31 January, 1992; 18 February, 1992; 13 April, 1992) and is confirmed by the omission of *routines* in the *Strategic Plan* for 1991 given in Appendix G4 and in subsequent *Strategic Plans* in 1992 and 1993. Such an omission needs clarification. The absence of specific reference to *routines* and *procedures* in corporate level plans reflects that these plans focus on visionary and strategic goals and not with *how* such plans are to be implemented. *Routines* and standing procedures are *operational* and so would not be expected to be recognized in higher level organizational plans. They are *known* to staff though not identified explicitly in writing in the *Strategic Plan*. They can be identified in other Board documents, other public documents and through practices developed through organizational socialization. Because *lower* level plans tend to contain more detailed targets, lower level plans also deal with detailed aspects of policy not specifically identified in the *Strategic Plan*. These aspects of the plans may be *linearly* related to public policy, but not necessarily explicitly related to the written content of *higher* level plans. As a consequence, the structure of the planning system

described in Figures 4.1, 4.2 and 4.3 which assumes *linearity* of relationships among plans, does not hold for all implementation plans.

A problem perceived by a number of managers interviewed has been that the neglect of *routines* is a failure to recognize the importance of *routines* themselves and implies a rejection of the role of such routines in Board operations (Interview with Branch Manager, Board Support, 22 January, 1992; Interview with Branch Manager, Examinations and Certification, 7 January, 1992). *Routines* appear to be the main processes undertaken by the majority of the Branches, particularly, Assessment and Systems, and Examinations and Certification, and their significance has been acknowledged in interviews with all senior managers and identified in observations from July, 1990, to December, 1992.

A significant conclusion is that there are two complex, nominal hierarchies, each of which involves *linear* relationships among plans. One hierarchy has the corporate level plans at the highest level. The plans in this hierarchy are vertically linked so that *Performance Agreements* and *Management Plans* for sub-unit operations are relatively dependent on the objectives and strategic targets in corporate level plans. A second hierarchy has the President's *Performance Agreement* with the Minister as the key plan on which other plans depend and which acts as a model and set of criteria against which other plans and activities are judged. This second hierarchy appears the more significant for policy implementation planning. Within this hierarchy there is a dynamic, relationship between the quarterly reviewed and evolving targets in lower level plans, the undertakings in the President's *Performance Agreement*, and the dynamic expectations of

the Minister and the Cabinet.

Having examined the hierarchical relationships among the implementation plans, the focus now turns to another form of relationship among the plans which is based on structural similarities.

Structure of the Plans is Similar. With the exception of the *Corporate Plan*, all documented plans in the hierarchy are based on a similar model of structure as exemplified by the President's *Performance Agreement* and the *Strategic Plan*: columnar with common areas of *undertakings* or *commitments*; *actions* or *strategies*; *targets* or *outcomes* expected; and a *time frame*. Examples are given in Appendices G1, G4 and G5.

Though these plan components are an important consequence of the development of the *Corporate Plan* as judged from the interviews and from observation, plans tend to omit any documented analytical aspects related to their development, such as, environmental considerations and factors influencing the targets and also omit details of *how* these are to be implemented. These two factors have been identified as significant in interview and observed consistently over the period of research but neither appear to have been recorded in plans nor any files related to planning. However, it is apparent from the *planning model* used by the President that a thorough analysis is perceived as essential and this is supported by O.P.M. documents (*Strategic Management Brief*, 3, 1990 and 1992).

The common structure tends to bind the plans together in two ways. First, there is a high degree of visible similarity as can be judged by *eyeballing*, that is, the plans seem to be about the *same* organization. This is exemplified in Table 4.2 and in comparison of plans in Appendices G2, G3, G4, and G5. Second, as discussed in the previous section, there are structural linkages in the *targets* and *undertakings* across the different levels of plans so that those in hierarchically lower plans tend to be highly related to those of the next hierarchically higher level. This is evident in the relationship of lower level plans with the respective plan of the supervisory manager.

Relationship of the Implementation Plans and the Public Policy

Certain *external* and *internal* controls affecting the Board of Studies, N.S.W., have indicated that the implementation plans are consistent with the curriculum and credentialling reform policy given in the *N.S.W. Education Reform Act* (1990), the *Carrick Report* (September, 1989), and in the white paper on the curriculum, *Excellence and Equity* (November, 1989). This is a perception from a *rational* perspective which assumes a high degree of faithfulness in the implementation of policy and in the planning of the implementation. The *Carrick Report: Two Years On* (1992) has confirmed the high degree of compatibility between the policy changes in curriculum and credentialling and the actions taken to implement them.

Two particular *external* controls are evident. First, there is the comparison of the plans with the explicit requirements of the *Act*, and reported expectations of cabinet and the Minister. Second, there is the requirement in legislation (*N.S.W. Education Reform Act*, 1990, Part 3, Division 3, Section 14) and of Ministerial policy (Interview with President,

13 November, 1991; Interview with General Manager, Curriculum, 19 November, 1991; Interview with Manager, Curriculum Development and Registration, 7 January, 1992; Interview with Manager, Policy and Planning, 31 October, 1991) specifically for the Minister to approve of all curriculum changes and to approve of all Board corporate level plans for the curriculum and credentialling changes for school level education from Kindergarten to Year 12.

These external controls are exemplified specifically in the three main ways. First, each *Corporate* and *Strategic Plan* of the Board has been submitted to, and approved by, the Minister. This serves two main purposes: to keep the Minister informed about Board activities and to gain Ministerial agreement on Board plans and actions to ensure compatibility with the policy of the Cabinet. In 1991, there does not appear to have been any adverse concerns of the Minister indicating that the *Strategic Plan* has been judged as consistent with the expectations held for the Board by, at least, the Minister. The *Strategic Plan* which has been modified at the end of 1991, however, has not been initially accepted by the Minister because of changing government priorities (Interview with the President, 11 December, 1991; Interview with the Branch Manager, Policy and Planning, 11 December, 1991). It has only been after the Board had made a number of alterations that it has been approved by the Minister. The submission of these plans to the Minister is one of the procedures which ensures that the main plans of the Board are consistent with government policy including that policy which is publicized, and that which is reactionary to emerging issues which the government believes requires a specific indication of intention or of values. Thus, the Board, for example, has been required to postpone development of particular syllabuses when judged necessary by the

Minister even when there has been an earlier indication that these would be done (Interview with the President, 13 November, 1991; Interview with the General Manager, Curriculum, 19 November, 1991; Interview with Branch Manager, Curriculum Development and Registration, 7 January, 1992; Interview with Branch Manager, Policy and Planning, 11 December, 1991).

Second, as described in the O.P.M. document on the *Senior Executive Service* (1989), the President has a *Performance Agreement* with the Minister which indicates the undertakings and targets for which the President is personally responsible. Because this is negotiated with, and subject to, review by the Minister, it is evident that once the Minister accepts this each year, there is approval of the undertakings and planned actions (Interview with the President, 11 December, 1991).

Third, because all other Board plans are expected to be consistent with the President's *Performance Agreement* and with the *Corporate* and *Strategic Plans*, then there is an assumption that these plans are also consistent with government policy and priorities once the main plans have been accepted by government and once the other organizational plans have accepted as being consistent with the main plans. The process of plan development has been designed to ensure this.

Although there has been a tendency for each manager to have had the sole input into respective plan development in 1991, there has been the negotiation of each plan's content with the immediate superior manager and the three to six monthly reviews which focus on the attainment of targets. This approach has been undergoing modification and

in 1992 there has been more negotiation among staff members in each unit so that the plans being produced by managers are the shared products of those who will implement them (Interview with Manager, Board Support, 22 January, 1992; Interview with Manager, Curriculum Development and Registration, 7 January, 1992). The process of planning is discussed further below in Chapter 5.

There has been only one observed and reported exception to this. Though the plans of the ten Board of Studies Liaison Officers have been submitted each year to their supervisory manager, the degree of negotiation undertaken has varied. For example, in 1991, the Liaison Officers developed their own individual plans without initial negotiation with their supervisory manager. Negotiation took place only after the first six monthly review when certain areas have been identified as requiring alteration (Interviews with Board of Studies Liaison Officers, 11 December, 1991; 12 December, 1991; 30 January, 1992; 31 January, 1992; 18 February, 1992; 24 March, 1992; 13 May, 1992; 1 June, 1992; 7 August, 1992). The reviews in 1991 led to the subsequent modification of some plans. There has been no negotiation for 1992. Liaison Officers developed individual plans after negotiation among themselves.

Orientation of the Implementation Plans

All plans appear to be *outcomes oriented*. This is evident in the focus on goals expressed as *targets*, or *objectives* in the case of the *Corporate Plan*. *Targets* are also the basis for reviews of the corporate level plans, *Performance Agreements* and *Management Plans* undertaken in each year of the planning cycle. Examples are given in Appendices G1, G2, G3, G4, and G5. The *outcomes orientation* is consistent with

both the expectations of the state cabinet for performance management described in the Premier's Memorandum no. 91-28 and O.P.M. documents on strategic management described above.

The focus on *targets* in each plan does not neglect *processes* and *inputs*. As indicated above, information on *processes* tends to be omitted from written plans. Similarly, *inputs*, although identified as significant considerations in interviews and through observation, tend to be implied rather explicitly recognized in written plans. Examples are evident in Appendices G1 to G5. It is apparent that, although there is a predominant concern for *targets*, there is an assumption that certain *inputs* and certain *processes* will occur. Consequently, the plans in the hierarchical system appear to be developed on the basis of the *targets* of the higher level plans influencing a number of the basic *inputs* for the lower level plans and the related planning *process*. Thus, it could be argued that an aberration in the attainment of lower level *targets*, or *inappropriate inputs or processes*, could lead to an aberration in achieving higher level *targets*.

Conclusion

This chapter has focused on the characteristics of the public policy implementation plans developed by the Board of Studies, N.S.W. as a first step in the broader process of implementing N.S.W. curriculum and credentialling reform policy. The evidence from the three sources of data is different. The *plans* themselves have provided the main documentary evidence on the structure, content and orientation of the plans. *Modified participant observation* has given a relatively small quantity of data on characteristics because this method has been more selective than the others in that it has involved direct

observation of a limited number of plans. In contrast, interviews have given the largest range of information of plan characteristics which has reflected the informants' perceptions of their own, and the corporate level plans.

Furthermore, the plans individually and collectively exhibit important characteristics. The plans are of two distinct forms: plans related to the organization as an entity; and plans related to personal responsibilities within the organization. With the exception of the *Corporate Plan*, these plans are similar in structure and lack details to guide implementation, thereby relying on varying degrees of discretion of the managers for effective implementation. They also tend to focus on *initiatives* rather than *routines* though routines appear to be understood as significant and implemented nevertheless.

The plans form two interdependent hierarchies. The structure of each hierarchy, however, is influenced by the design of the organization whereby the relationship of managers is mirrored in the relationship among plans. The plans are highly compatible with the curriculum and credentialling reform policy. But there is a perception among certain middle managers that the corporate level plans have a relatively weak association with their own responsibilities which they see as being predominantly in the area of *routines* rather than *initiatives*.

The next chapter focuses on how these plans have developed by examining the planning processes more closely.

CHAPTER 5 IMPLEMENTATION

PLANNING PROCESS

Overview

This chapter presents and discusses the main findings with respect to the second research question: *How has the implementation planning process been undertaken by the Board of Studies, N.S.W. ?* This is done first, by providing an outline of data collected from the three methods, and second, by using the data to answer the related five specific questions given in Table 2.2 and operationalized in Chapter 3. To reiterate, these latter questions enquire about the *implementation planning process which has occurred; the degree to which the implementation planning process is linear; the relationships among the components of the planning process; the degree to which rational or interactive models of planning explain the implementation planning process; and the degree to which the planning system is relatively open, or relatively closed.* A summary of the relevant data is contained in Appendices C4, D4 and E5.

Outline of the Data Collected by the Three Methods

The information obtained from the three sources of data on the implementation planning process has differed considerably. *Interviews* have provided more details on the *process* than either *documents* or *participant observation* while *participant observation* has provided *details* of the implementation planning process for certain plans only. The data gained from each of the sources is now examined more closely.

Documents. The planning related documents analysed have provided little data on the *process* of implementation planning in contrast to the more extensive content of the plans, as *outputs* of the process, described in the previous chapter. Exceptions are rough personal notes of managers, including annotations of early drafts of plans, briefing notes and agenda for meetings. These have been obtained largely as a consequence of interviews in which informants frequently have provided written materials on planning not otherwise available.

Among the exceptions to the absence of documentary evidence on the processes of planning are documents which have provided background information to the statutory Board and senior management for the planning conference in November, 1990, and similar conferences again in 1991 and 1992. Appendix C5 contains examples of two such documents developed for the first Board planning conference in 1990: a *Board of Studies Planning Model* and *Planning Process for the Development of Corporate and Strategic Plans for the N.S.W. Board of Studies*. These indicate the directions for planning which the President had tentatively identified and which, subsequently, became the basis for the formulation of the *Corporate* and *Strategic Plans*.

One of the most significant and detailed support documents used at the 1990 planning conference has been *Scenarios* (1990). This has been developed by the N.S.W. Department of School Education and has given the Board and its staff a detailed environmental analysis for consideration in developing the corporate level plans. *Updated* versions of this document have also been used in also 1991 and 1992.

There are a number of possible explanations for the apparent absence of detailed documentary evidence on the *process* of implementation planning. First, there has been a very short *time frame* given to the Board to develop a very large array of curriculum and credentialling, and related documents, which could only be done effectively by having *Corporate* and *Strategic Plans* as framework documents developed as quickly as possible. The *challenge* of the relatively *short time* frame, with minimum staff, and the perception by senior management of the urgency for planning necessitated by the state government policy described in *Excellence and Equity* (November, 1989) have been reported in interviews with senior managers (Interviews with the President, 13 November, 11 December, 1991; Interview with Branch Manager, Curriculum Development and Registration, 7 January, 1992) and observed as a significant influence on planning over the period June, 1990, to December, 1992. The Board has been established in June, 1990, and within six months it has been expected to address, not only the legislative requirements relevant to the functions of the Board, described in Appendix A1, but also the majority of the policy commitments given in *Excellence and Equity* (November, 1989) which relate to curriculum and credentialling responsibilities of the Board.

Second, given that, as required by both Board and government policy, developing syllabuses entails *a high degree of consensus* (Interview with the President, 11 December, 1991; Interview with General Manager, Curriculum, 19 November, 1991; Interview with Board Inspector, 11 November, 1992; Interview with Branch Manager, Curriculum Development and Registration, 7 January, 1992) another plausible explanation is that documenting the planning process has not been perceived as being as

important as the plans. However, the notion that the process itself, in contrast with documenting it, *is unimportant* has not been supported by interview data as all senior executives and the other informants reported an appreciation of the importance of the process of developing the plans.

Third, the planning process may have been difficult to document accurately by the main participants. Hypothetically, documenting a process can be either done by establishing a model for documentation *prior* to undertaking planning, or documenting the process *simultaneously* as the process is occurring, or documenting the process *after* it has finished, or a *combination of these*. Establishing a prior model of documentation of a process installs a *blueprint* which can foster *compliance* with a relative static model; simultaneously recording of the process as it occurs can be operationally difficult and artefactual of selective observation; and subsequently documenting a process requires time for reflection and introspection by the main participants. The last is also recognized here as being of limited value in that documenting the process afterwards can facilitate rationalization of explanation of the process reflected in the light of subsequent judgements about the initial decisions.

The absence of comprehensive documentation of an implementation planning process does not appear to be the result of a policy. Interviews with the President (13 November, 1991) and the Branch Manager, Policy and Planning (31 October, 1991) have indicated that documenting the process has not been considered as an option. As already indicated, the main concern has been the production of high quality corporate level plans as quickly as possible (Interview with the President, 13 November, 1991; Interview with

Branch Manager, Policy and Planning, 31 October, 1991).

The most probable explanation for the omission appears to be that documenting the planning process, in contrast to documenting the plans, is not a practice generally undertaken in public organizations in N.S.W. Unlike a researcher's interest in decision making behaviour, the organization's focus in planning is to produce a documented plan which will guide the organization. How the plan is developed is not perceived by planners as important as the gaining of a commitment to the plan and allowing some degree of *participation* in, and *ownership* by, those with responsibilities for implementing it (Interview with President, 11 December, 1991; Observations, October, 1990, to July, 1991).

Given that there is little documentary evidence from the Board on policy implementation planning, the plans as the documented *outputs* of the process tend to provide an insight into the process itself. The *structure, content, targets, the specification of those personnel responsible for achieving the targets*, and the prioritizing of tasks, indicate major considerations in the planning process. As these are areas common to all plans, they also indicate that the goals of the process appear to be similar.

Of further relevance is that there is strong documentary evidence of a commitment to the principle of comprehensive *consultation*, where possible, in making final details of implementation of planning decisions. *Consultation* is described in Board and Ministry documents (Board of Studies, 1991, *Corporate Plan*; Board of Studies, *Annual Reports*, 1991, p. 32f, 1992, p. 40f; *Excellence and Equity*, November, 1989, p. 5) as allowing

the stakeholders to arrive at a *consensus* within the broad guidelines provided by the main government policy documents. While *consultation* does not allow an insight into the entire planning process, it indicates an essential condition which has been deliberately sought in developing and expanding planning options within the planning process pursued by the Board.

In contrast with widespread consultation as *information sharing* which has taken place in *implementing* curriculum and credentialling decisions, there has been limited *consultation* in the planning process because the main participants have been the Board members and senior management staff in corporate level planning and each manager individually for the respective *lower* level plans which contain operational details of policy implementation.

As a consequence of the recognition here that the Board has not documented the implementation process, it has been necessary to explore whether or not there have been any other documents issued by the state government which refer to expectations of planning to be undertaken by government organizations in N.S.W. These expectations for planning are described in guidelines identified in a number of documents developed by the N.S.W. Office of Public Management (O.P.M.) and a *Memorandum* issued by the state Premier's Department referred to in Chapter 4. The significance of these documents is that they refer to the annual *cycle* of corporate level planning to be followed by each state government department and the scope of corporate level plans. There is only brief reference to the *process* of planning. Over the period of the study, this cycle has commenced each October and is designed to allow all state government

organizations to provide budget estimates and make annual reports to government at the same time (*Strategic Management Brief*, 2, 1990; 3, 1990; 6, 1991 and 1992). Figure 5.1 illustrates the context of *planning* in the O.P.M. strategic management cycle which is followed by the Board of Studies, N.S.W. Note that the cycle is directed by budgetary considerations which have a substantial association with planning.

The generalized character of the O.P.M. planning cycle implies that managers of public organizations either already, through socialization in the organization, or through learning from outside, have the capacity to design and to follow an appropriate planning process for the implementation of public policy. Nevertheless, there are training programs conducted by O.P.M. for personnel with planning responsibilities but over the period of the study, only two staff members, both in non-management positions, experienced such training (Observations, June, 1990, to December, 1992). As described more fully below in the section on *Interviews with Informants*, managers frequently have reported in interview that the planning process which they have followed for their own individual plans has been their own perception of what should be done but using the President's *Performance Agreement* as an example.

Figure 5.2 depicts the Board of Studies adaptation of the O.P.M. model by late 1992. Note that, although it focuses on both budgetary and accountability requirements following the same sequence as the O.P.M. planning cycle, it includes sub-corporate level plans.

Figure 5.1 N.S.W. Office of Public Management strategic management cycle
(Source: N.S.W. Office of Public Management. 1991. The strategic management cycle, *Strategic Management Brief*, 6, May, p. 11.)

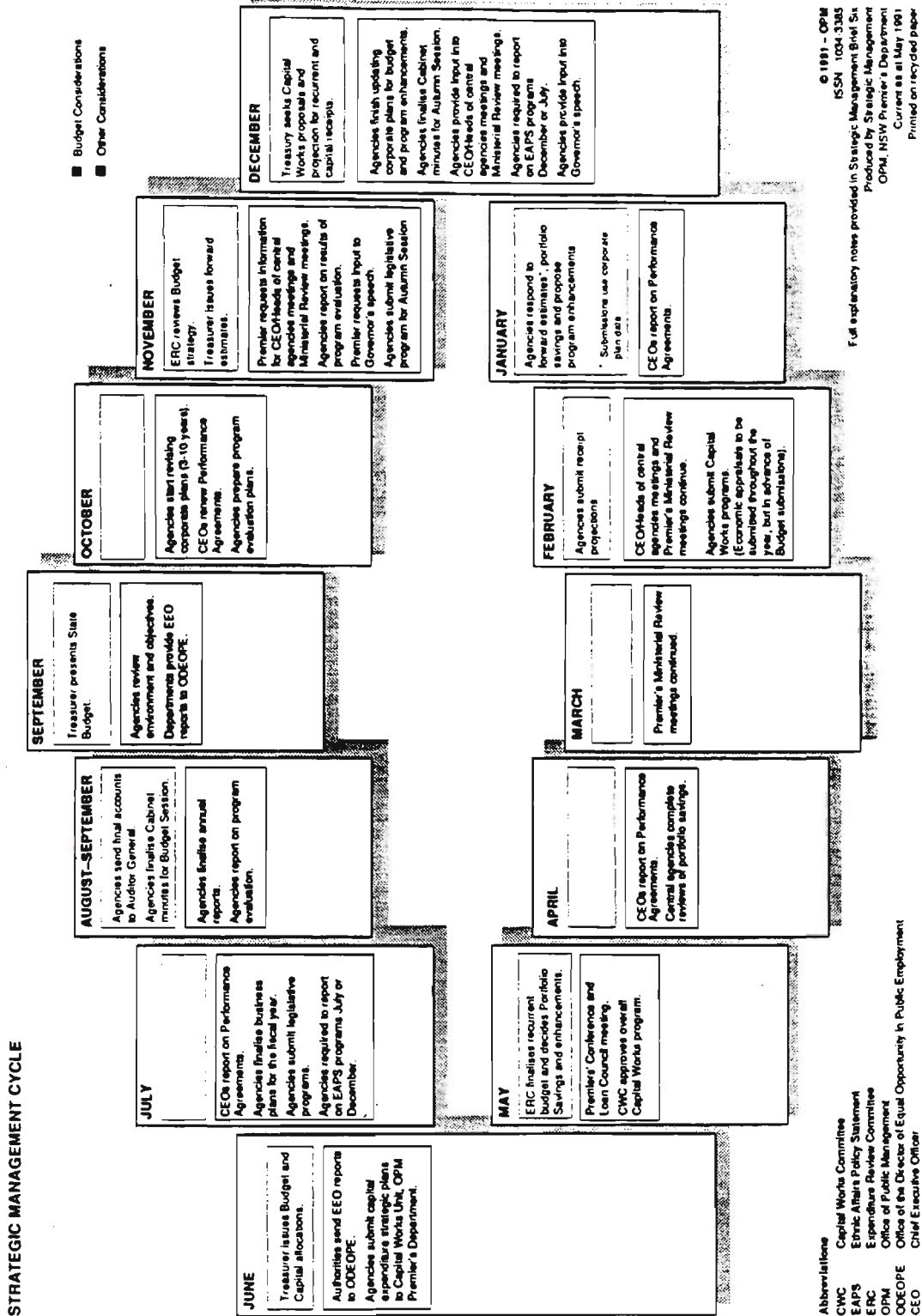
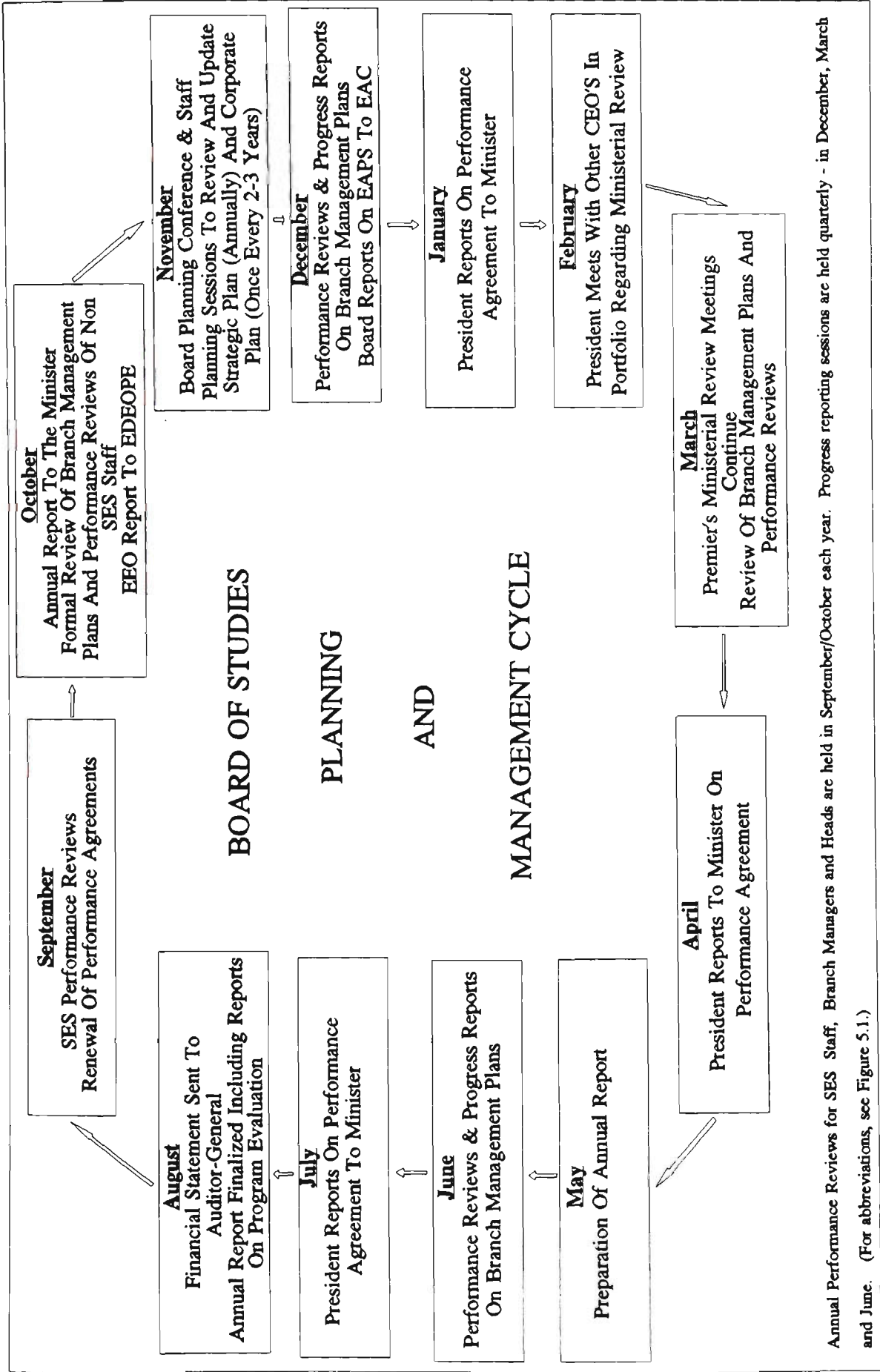


Figure 5.2 Board of Studies annual planning cycle by late 1992



Interviews with Informants. *Interviews* have provided most of the detailed data on the policy implementation planning process. *Interviews* have revealed details of planning both officially and unofficially as practised by staff and the Board. However, as indicated in Chapter 3, the use of interview data relies on the reliability of a two-step perception: the perception of the informant of the processes and the perception of the researcher of the reports of the informants.

The interviews with informants and the resultant data obtained on planning processes can be classified according to management levels within the hierarchical design structure of the Board identified earlier in Chapter 4. These levels are senior staff, middle managers and unit managers, each of which will now be discussed. First, there are the interviews with the most senior staff of the Board, particularly, the President and the Divisional Managers, and with the senior staff of the Corporate Services Unit of the Ministry of Education and Youth Affairs. This information is critical in a number of ways. It gives the President's perceptions of *how* the planning undertaken by the Board has occurred. It appears that the Board and its management staff have used a great deal of discretion in decision making which allows flexibility in deciding how the policy is put into practice. Of the interviews with the members of the senior executive, those with the President have provided a unique insight into the context and the development of the structure of the Board and planning processes undertaken by the Board and its staff. Interviews have also provided access to other documents used specifically by the statutory Board in its deliberations over developing the *Corporate Plan*, and the annual *Strategic Plan*.

A significant finding, indicated earlier in Chapter 4, has been that the structure of the executive arm of the Board, that is, the functional design and structuring of the staff unit of the Board, has been a personal decision by the President and has largely been based on the model of the previous Board of Secondary Education, of which the President had earlier been the Executive Officer as well as the Director of the Statutory Board Directorate, the executive support organization for that Board. As indicated already in Chapter 4, the design of the organization appears to have influenced the Board's plans and the planning processes undertaken, issues which are discussed further in Chapter 6.

Another finding has been that the President has used the details from the document, *Excellence and Equity* (November, 1989), to provide the statutory Board with the directions in curriculum and credentialling planning, as the details of the reform policy, had not otherwise been documented or specified by government (Interview with the President, 11 December, 1991). This is discussed further in Chapter 6.

A number of tentative conclusions can be made from the interviews with the senior staff of the Board. First, the broad intentions of the *N.S.W. Education Reform Act* (1990) and other government policies have been recognized by the senior staff and developed as initial *plans* to assist in promoting *planning*.

Second, although hypothetically there could be a *linear* implementation planning process because of a commitment or need to implement the policies *faithfully*, there has been no deliberate, mechanistic process that had been pre-planned as a linear model in the development of plans. Interviews with all senior executive members have indicated that

the process has been adaptive, allowing for a very high degree of flexibility.

This appears to have been done for a number of reasons. The *consultative* approach of the Board, which seeks member and client *consensus* on major decisions, has had implications for the planning *process* and has resulted in modifications to plans. *Consultation* has been deliberately promoted to arrive at more meaningful and effective plans and also to gain some ownership or commitment to the final plan by those involved, including the Board members, staff, and, to a lesser degree, clients (Interview with the President, 11 December, 1991; Interview with General Manager, Curriculum, 9 December, 1991; Interview with Branch Manager, Communications, 7 January, 1992).

But the consultation undertaken by the Board has been reported as being far more comprehensive and on a much larger scale than any previous client consultation on curriculum and credentialling change undertaken in Australia (Interview with the President, 11 December, 1991). For example, in 1990-1991 year alone, the Board staff held over 65 public consultative meetings across the state of N.S.W. to allow information sharing and to allow the broader community to comment on proposals made by the Board. These meetings have been attended by at least 15,000 people (Observation of Report by the President, 29 January, 1992; *Annual Report*, 1991, 32f). A result of the feedback has been the adaptation and evolution of planning. Examples include the reduction in the number of secondary syllabuses indicated in *Excellence and Equity* (November, 1989) reflecting concerns of schools regarding inadequate training of teachers for new areas and challenges to traditional courses; changing the release dates of new primary syllabuses to allow primary schools more time to accommodate each

new syllabus; the development of more vocationally oriented syllabuses, such as Industry Studies; alterations to the proposals for credentialling requirements in *Implementation of Curriculum Initiatives* (March, 1991); and continuing negotiation with other educational authorities for credit transfer between T.A.F.E. courses and H.S.C. courses.

The principle of *consultation* is also evident in the provision for regular meetings with all the major client groups and in programs of surveys, committee meetings, and formal and informal feedback networks. For example, it has been estimated by the Board's Policy and Planning Branch (Board of Studies. *Annual Report*, 1991, p. 31) on the basis of samples of telephone calls analysed, that the ten Liaison Officers alone have been involved in about 30,000 telephone contacts in that year, many of which have been about curriculum and credentialling reform policy and its implementation. Furthermore, in addition to clients contacting the Board's offices, each Liaison Officer submits a monthly report to the President in which, apart from a summary of meetings and other contacts, there is provision of feedback from clients with respect to all policies and procedures, usually for resolution by the Board or by a senior manager delegated to do so.

A consequence is that some of the directions indicated by the Board in its proposals have been altered. These include extending the time frame for release of certain Years K-6 and 7-12 syllabuses, clarification of the number of units required in each Key Learning Area to be completed to meet specific credentialling requirements and the nature of new syllabuses proposed (*Strategic Plans*, 1990-1991, 1991-1992, 1992-1993; *Annual Reports*, 1991, 1992, 1993; *Observations*, June, 1990 to December, 1992;

Interview with General Manager, Curriculum, 9 December, 1991; Interview with Branch Manager, Curriculum Development and Registration, 7 January, 1992; Interviews with Board Inspectors, 11 November, 1992, 12 November, 1992).

Within a second level, there are middle managers. These participate, to varying degrees, in the Board's overall *planning process* and respond to the Board's *Corporate* and *Strategic Plans*, and the Board's own implementation policies. Second level participants include Liaison Officers who have some responsibility for Board operations within specific geographic areas, and have had plans developed for each year initially on the basis of their particular *Statement of Duties*, exemplified in Appendix G5, but subsequently with respect to the Board's *Corporate* and *Strategic Plans*. Liaison Officers deal with all policies of the Board in the field and tend to acquire information, both formally and informally, which they can reflect on in terms of the Board's mission and corporate objectives. They have also been particularly involved in implementing the policies of change in curriculum and credentialling as well as contributing to the negotiations in planning. They have made a significant contribution in providing data as informants.

A third management level involved in planning is the staff group which deals with smaller units within branches. What is significant about this level is that, under an assumption of *linearity*, *planning* by these units in theory cannot occur effectively until middle level branch managers know the corporate level plans and unit heads know the plan of the respective middle level branch manager. Therefore, while there have been interim branch plans used by these managers, formal documented plans for the new

Board have only been possible following the development of the Board's *Corporate and Strategic Plans*. However, interviews with Branch Managers (31 October, 1991; 11 December, 1991; 7 January, 1992; 22 January, 1992; 29 January, 1992; 31 January, 1992) have indicated that branch plan development did occur while corporate level plans were still being developed, thus corroborating the existence of *non-linear* associations of plans in the hierarchy. This issue is discussed further below.

While the other two techniques have revealed relatively very little about the process undertaken, interviews have indicated that the planning process has been relatively complex and entailed a number of parallel, simultaneous sub-processes, which have both *linear* and *non-linear* elements.

Modified Participant Observation. This method has entailed the recognition of the processes of implementation planning in two ways. First, there is the role of the researcher as an active participant in development and evaluation of personal liaison plans which encompass all of the Board's responsibilities and policies. Second, there is the more passive observations of certain corporate level planning processes but there has also been opportunity to provide feedback on proposals entailed in drafts. This method has not allowed a focus on the processes undertaken by staff involved in all divisional, branch and section level planning activities which have tended to occur concurrently.

Data obtained from *participant observation* are summarized in Appendix E5.

There are a number of important aspects of the implementation planning process

undertaken by the Board recognized from this method. The first of these is that, while *documents* provide little information on the implementation planning process explicitly, the *modified participant observation* situations indicate considerable details about it. Significantly, a great deal of planning undertaken by the Board involves *negotiation* among various levels of the hierarchy. It is important therefore to reiterate that there are a number of different levels of planning.

The corporate level deals specifically with the strategic and corporate planning process. *Observations* from October, 1990, to July, 1991, described in Appendices E1, E2 and E5, have indicated that a general approach to planning had been initiated by the senior executive, particularly the President. As reported during conferences and through other observations during that period and indicated in Appendix E1, this approach has been communicated to the statutory Board to assist in establishing a corporate and strategic planning process soon after the Board's formation in June and July, 1990. In developing corporate level plans, a consensus approach using *brain storming* (Interview with the President, 13 November, 1991; Interview with General Manager, Curriculum, 19 November, 1991; Interview with Branch Manager, Policy and Planning, 31 October, 1991) has been used, particularly, at the planning conference in November, 1990. As described above, this approach, at this earlier period of planning, has allowed only limited involvement of staff, other than the senior executive.

The President has played a significant role in initiating and maintaining a planning process in two particular ways. First, the President has had substantial knowledge and understanding of the details of the curriculum and credentialling reform policy. The

President had previously been Deputy Director-General of the N.S.W. Department of School Education and, in that position, had been a member of the *Carrick Committee* which had drafted the *N.S.W. Education Reform Act (1990)*. Furthermore, the President has had an appreciation of the implications of the expectations of the *Act* and the other related government policy documents and from direct, regular contact with the Minister. Second, the President has had a *Performance Agreement* (1990-1991, 1991-1992, 1992-1993) with the Minister which contains President's responsibilities and commitments in implementing the curriculum and credentialling reform policy. These include the necessity of developing an effective planning system to guide Board strategies and operations. Together, these illustrate that there is a direct *linear* process in the development of plans.

Precise details of the planning process have not been fully identified in advance. Negotiation among members of the Board and the staff, and with many of the client groups has been undertaken to arrive at a consensus. Consequently, this has been an adaptable process resulting in modifications of the original intentions of government policy.

A feature of the researcher's observation of the planning process undertaken by the Board and its staff is that there has been substantial reliance on reports about the planning process by the main participants, not the direct observation of the planning process. This has both strengths and weaknesses. On one hand, the management staff directly involved in corporate and strategic planning have had an opportunity to reflect on, and to clarify, their perceptions of planning and the outputs of the planning process

as well as identifying the process of documenting the plans. On the other hand, it is possible that the reports on planning to the observer may be distorted by rationalizing the planning actions according to the perceptions of the original intentions and how they now perceive the outputs. It has not been possible to determine the degree to which this occurred.

Another significant feature identified from *participant observation* is that there has been a degree of *evolution* of policy over the period of the study as a consequence of interaction among the main stakeholders. These changes include those referred to earlier, such as, a reduction in the number of syllabuses identified in *Excellence and Equity* (November, 1989) and an emerging expectation of the Minister for all syllabus planning, design and evaluation activities to be approved by the Minister. Evolution of the policy through implementation tends to reflect the operational interpretation of curriculum and credentialling reform policy in a dynamic environment resulting in the adaptation of details of implementation.

Consequently, the implementation planning process can be perceived as containing two elements. First, there is a *linear* development of planning of policy implementation which involves the ways in which the policy is *faithfully* translated into practice through the guidance of the Board's planning system. Second, there is an *evolutionary* process in which there is some degree of adaptation and hence evolution of the policy itself resulting from *non-linearly* related practices in the *process* of planning.

A significant aspect of the data collected is that the *adaptation* apparently may be due to

a *consensus* or to *bargaining* which has occurred at a number of different levels in a planning hierarchy. First, there is a degree of adaptation through bargaining among the senior staff of the Board, and between the President and the Minister (Interview with the President, 13 November, 1991; 11 December, 1991; Interview with the General Manager, Curriculum, 19 November, 1991; 9 December, 1991; Interview with General Manager, Examinations and Assessment, 19 March, 1992; Interview with Branch Manager, Policy and Planning, 31 October, 1991; 11 December, 1991). Second, there is also some *negotiation* within the statutory Board itself where the members of the Board negotiate and arrive at a *consensus* (Interviews with the President, 13 November, 1991; 11 December, 1991; Interview with the General Manager, Curriculum, 19 November, 1991; 9 December, 1991; Interview with General Manager, Examinations and Assessment, 19 March, 1992; Interview with Branch Manager, Policy and Planning, 31 October, 1991; 11 December, 1991). Third, there is a consensus among the staff of the Board which often initiates and develops propositions with respect to planning and outcomes (Interview with the President, 13 November, 1991; 11 December, 1991; Interviews with Branch Managers, 31 October, 1991; 11 December, 1991; 7 January, 1992; 22 January, 1992; 29 January, 1992; 31 January, 1992). Fourth, there is negotiation between the Board and the staff of the Board, and with the government and the clients of the Board (Interview with the President, 13 November, 1991; 11 December, 1991; Interview with the General Manager, Curriculum, 19 November, 1991; 9 December, 1991; Interview with General Manager, Examinations and Assessment, 19 March, 1992; Interviews with Board of Studies Liaison Officers, 31 January, 1992; 11 December, 1991; 7 August, 1992; 24 March, 1992; 12 December, 1992; 30 January, 1992; 18 February, 1992; 12 May, 1992; 1 June, 1992; 7 August, 1992).

These indicate that the process of planning of the implementation of policies by the Board is relatively complex. This process appears to rely on how participants perceive the particular policy in terms of their own understanding of reality. This overall interpretation of phenomena fits within the broad *non logical-positivist* approach whereby individuals give some meaning to their experience; but the meaning itself is very much *adaptable* and *evolutionary* as interaction takes place over time in a dynamic environment.

What Planning Processes Have Occurred ?

There are three different, though interrelated, implementation planning processes recognized from the analysis of data from all sources: the process of the planning and design of the structure and resource requirements of the Board staff organization to implement government curriculum and credentialling reform policy; an emerging *macro* planning process in the organization which encompasses the Board's total approach to planning; and a set of *micro* planning processes or sub-processes which encompass the development of individual plans at various levels in the management structure of the support organization of the Board. These are discussed below.

Planning and Designing of the Board's Staff Organizational

Structure to Implement the Curriculum and Credentialling Policy. The planning and the designing of the internal structure of Board of Studies staff unit have been critical in the implementation of the curriculum and credentialling reform policy. This is because, as already discussed in Chapter 4, the nature of the structure of the

Board appears to be linked with the plans developed. While membership of the statutory Board has been given in legislation (*N.S.W. Education Reform Act, 1990*), the structure of the staff unit and the employment of key personnel have been the responsibilities of the President as the Chief Executive Officer of the Board (*Carrick Report, 1989, 143*; Interviews with the President, 13 November, 1991; 11 December, 1991). In this respect, the President had a relatively open choice from a large range of options as reported in interview.

Although senior managers have been involved in the decision making on staffing, finalizing details of organizational structure, and the identification of positions and formal relationships within Divisions and Branches, the main decisions about the planning of the design have been made by the President alone (Interview with the President, 11 December, 1991). As described already above, a *functionally based, hierarchical* design has been selected by the President using what has been perceived as an effective model of design provided by the previous Board of Secondary Education with which the President had worked one time as its Executive Officer and, simultaneously, who had been the Director of the Statutory Board Directorate, the support organization of that Board. Much of the structure of the new Board staff unit had parallels in the staff unit that supported the earlier Board, especially the divisional unit which dealt with examinations. A curriculum division has been added to fulfil the functional requirements of legislation for the Board to design syllabuses Kindergarten to Year 12 (*N.S.W. Education Reform Act, 1990, Part 9, Section 102 (2) (a)*), which are contained in Appendix A1).

There have been other important factors, not directly relevant to previous curriculum and credentialling Boards in N.S.W., which the President needed to consider (Interviews with the President, 13 November, 1991; 11 December, 1991). The Board of Studies has been expected to operate relatively independently of other government departments, especially the N.S.W. Department of School Education which has had a controlling influence on curriculum development for school level education in N.S.W. for over a century. Furthermore, the Board has a greater range of responsibilities (*N.S.W. Education Reform Act, 1990*, Part 9, Section 102; *Carrick Report*, September, 1989, pp. 139-149; *Excellence and Equity*, November, 1989); Appendix A1) than previous Boards. It thus has required a more comprehensive infrastructure than support units of earlier Boards. These included additional functional responsibilities, such as, Administration and Finance, Communications, and Policy and Planning which have been catered for by the establishment of specialized Branch units, and the structuring of all functions into a hierarchy within the support organization.

The initial organizational structure developed in the first six months of the Board's operations is represented in Figure 4.1. This has been subsequently amended during 1991 when financial and administrative functions have been relinquished to a new government organization, the Corporate Services Unit of the Ministry for Education and Youth Affairs; and when the Product Development and Marketing Unit has been formed in late 1991. Figures 4.2 and 4.3, respectively, indicate the changes in the structure of the Board following these two changes.

Such an organizational structure has also established a framework for a *hierarchy of*

planning of predominantly *functional* plans. These are similar to those in many other public and private organizations. Another design may have had different implications for planning.

Macro Planning Process. There is evidence from all sources of data of an emerging *Macro Planning Process*. The term *macro* is used in this study to refer to the planning system as a whole. The process consists of expectations and actions involving the development of plans, their implementation and their review over a yearly cycle. The cycle is the framework for plan development undertaken by the Board in achieving its *objectives* identified in the *Corporate Plan*. This procedural approach has originated from requirements of the Premier's Department for all N.S.W. state level public organizations, described in Office of Public Management documents on *Strategic Planning*, referred to in Chapter 4; but the details of the implementation of the approach has been largely operationalized in the earlier period of the Board by the President who perceived it as significant, and later by the Board, in conjunction with senior management staff and the Policy and Planning Branch (Interview with the President, 13 November, 1991; Interview with General Manager, Curriculum, 19 November, 1991; Interviews with Head Policy and Planning, 31 October, and 11 December, 1991).

There are a number of characteristics of the *macro planning process* which further indicates the Board's approach to the policy implementation planning process. First, underlying this process is a perception of the *essential nature of plans and planning*. This is reflected in both the external requirements of the state Premier's Department for a planning cycle and the Board's application of these, but particularly, the judgments

made by the President and the Senior staff. The government's policy on the corporate and strategic planning cycle has been fully developed in the first year of the Board's operations, and the President undertook the development of a cycle which parallels it closely. Consequently, the planning system of the Board appears faithful to the intentions of the model of the N.S.W. Office of Public Management.

This model has continued to evolve and is indicated in Figure 5.2 in the form reached by December, 1992, after two years of development. It is similar to the N.S.W. Office of Public Management model given above in Figure 5.1. The Board's model focuses on reviews and reporting, and modifying existing plans following reviews. There is also a concern with the meeting of targets in performance management agreements.

Second, this planning process, as well as the plans themselves, is predominantly *outcomes* oriented. This is particularly evident in *participant observation* instances and through the interviews. Achieving appropriate planning outcomes, such as documented plans, appears to be perceived as much more significant than the decision making process even with the particular focus on *consultation* and *negotiation*. This does, however, mask a concern with the process insofar as that elements of the process are seen as essential in achieving better quality and appropriate *outcomes*.

Third, the *Macro Planning Process* indicates links among all plans. Individual plans are not developed in isolation as small relatively closed systems, but instead are developed, implemented, and reviewed as a relatively large system of closely interrelated components.

A consequence is that the formal requirement to undertake annual cyclic planning and review of plans with a focus on targets is resulting in a tendency for planning the process to be a relatively closed routine within each planning period. This appears to be replacing the flexibility and adaptability which had been evident in the initial periods of formulating plans and implementation policies when these formal requirements have been emerging.

Micro Planning Process. The *Micro Planning Process* encompasses the development of individual plans within the *Macro Planning System*. Figures 4.1, 4.2 and 4.3 and Table 4.1, described above, indicate that these plans relate to different levels in the organizational hierarchy.

Corporate and Strategic Planning Processes. The processes of developing the *Corporate and Strategic Plans* ostensibly follow the guidelines of the N.S.W. Office of Public Management provided in the documents referred to in Chapter 4 and earlier in the present chapter. For example, the O.P.M. document, *Making the Strategic Management Cycle Work* (July, 1991) and *Strategic Management Brief* (2, 1990) describe the strategic planning process and the Premier's *Memorandum* 91-28 also describes corporate planning. These corporate level processes differ from other *Micro Planning Processes* in that they relate to the *organization as an entity*, not to personnel, though responsibilities of particular personnel for achieving specific strategies are identified in the *Strategic Plan*.

There have been two phases of corporate level planning which can be identified in the

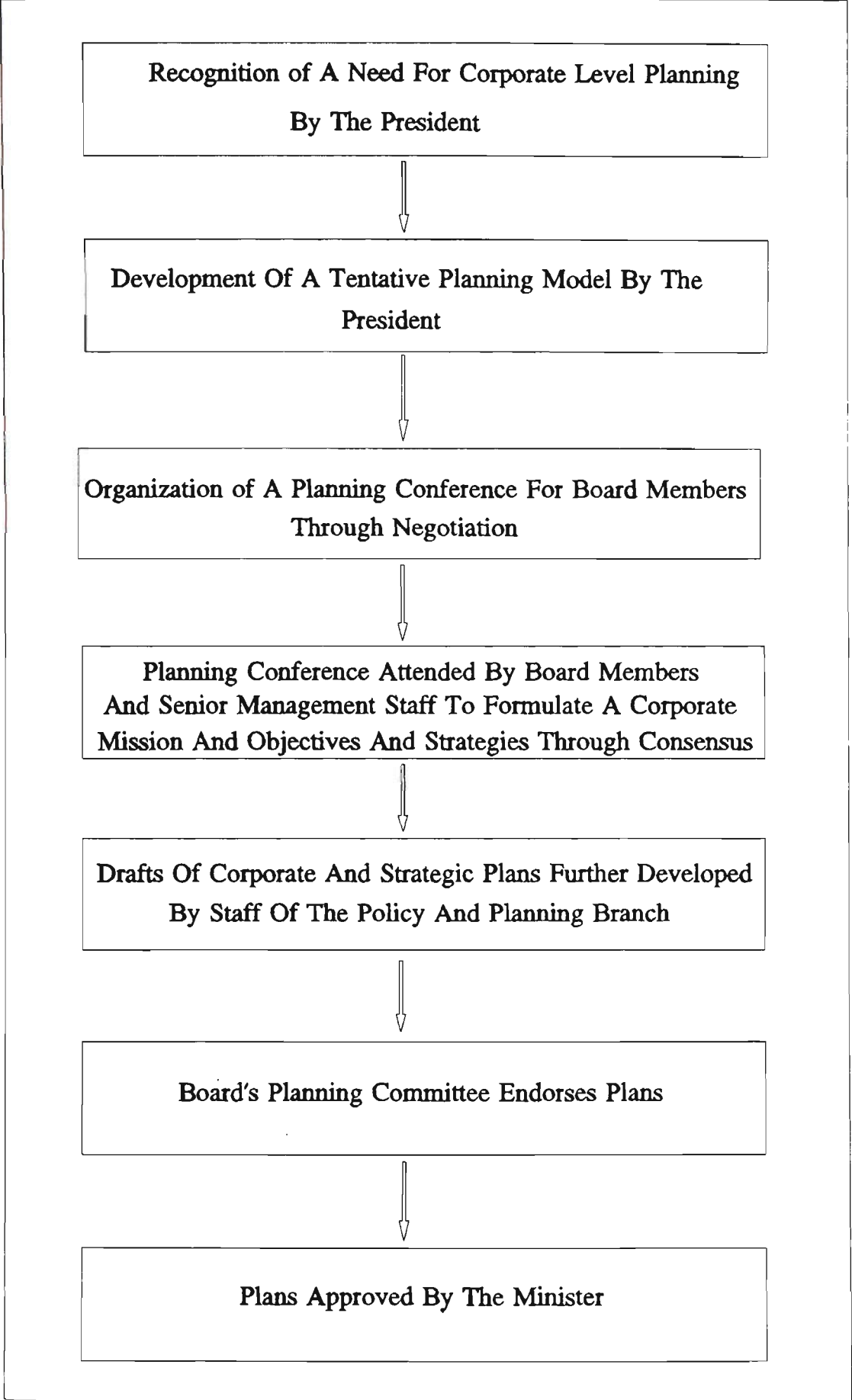
time over which the study has occurred. The first has been the initial development of the *Corporate* and *Strategic Plans* and the second has been the annual review of corporate level plans which occurs within the formal cycle and includes evaluation and subsequent alterations consistent with emerging expectations of state cabinet and changes in the broader environment affecting the curriculum and credentialling reform policy. Each of these will be reviewed briefly.

The development of the initial *Corporate* and *Strategic Plans* has occurred predominantly between October, 1990 and July, 1991. As already indicated, this process has been undertaken mainly by the President and the Board. The planning briefs used by the President, the Board members and the senior staff are given in Appendix C5. Figure 5.3 illustrates the main stages in this process.

An important parallel process has been one involving senior management staff. The President has met each week with senior and middle management at a Senior Executive Meeting which brought the General Managers, Branch Managers, Inspectors and Liaison Officers together to develop an approach to planning at both the corporate level and at the operational level. The corporate focus has entailed providing advice to the President on *Corporate* and *Strategic Plans* to assist the Board in finalizing these. The operational focus has involved a process of identifying the implications of the two corporate level plans these for Board operations (Interview with Manager, Curriculum Development and Registration, 7 January, 1992).

The decision to initiate and promote these plans has also been made by the President,

Figure 5.3 Development of the first corporate level plans of the Board of Studies



but the initial draft of ideas has been formulated with assistance from Divisional Managers and staff from the Policy and Planning Branch (Interviews with the President, 13 November, and 11 December, 1991; Note from the President, 18 January, 1992; Interviews with General Manager, Curriculum, 19 November, and 9 December, 1991; Interview with General Manager, Examinations and Assessment, 19 March, 1992; Interviews with Head, Policy and Planning, 31 October, and 11 December, 1991). Both Divisional Managers who had been appointed by November, 1990, had been employed previously in management positions within the support unit for the Board of Secondary Education and both had extensive experience in planning. The processes pursued in developing these plans have been relatively simple.

The need for *Corporate* and *Strategic Plans* is given in the Office of Public Management documents identified earlier. The President, independently of government expectations, has also reported in interview of the importance of these plans for effective management independently of government requirements (Interviews with the President, 13 November, 11 December, 1991) which he also indicated had been his main concerns in 1990 when initiating planning.

An existing model, from the N.S.W. Department of School Education, has been adapted by the President for use in developing the *Corporate* and *Strategic Plans*. The use of this model, as a reference, has been explained by the President's familiarity with it, and his involvement in the development of that plan when holding the position of Deputy Director-General of the Department of School Education, prior to being appointed President of the Board (Interview with the President, 13 November, 1991).

The *Corporate Plan* is perceived by the statutory Board as describing what the Board is through a *Mission Statement* and *Corporate Objectives* while the *Strategic Plan* is perceived as describing specific targets the Board would achieve in order to attain its corporate objectives within a one to five year time frame (Office of Public Management, *Strategic Management Briefs*, 2-6, 1990-1992; Interview with the President, 13 November, 1991; Interviews with General Manager, Curriculum, 19 November, and 9 December, 1991; Interview with General Manager, Examinations and Assessment, 19 March, 1992; Interviews with Head, Policy and Planning, 31 October, 1991 and 11 December, 1991).

A draft of relevant planning concepts and proposals have been developed by the President, the two General Managers and staff of the Policy and Planning Branch. The President proposed a two day planning conference and it has been agreed to by the Board which has been given a range of ideas to consider prior to the conference. Appendix C5 contains two of these documents provided for this conference. One of these documents contains a diagrammatic model which indicated proposed relationships among plans provided to the Board by the President.

An important document given to the Board by the President has been *Scenarios* (1990) based on a similar document developed previously by the N.S.W. Department of School Education and adapted each year by the Board's senior management of the Board in 1990, 1991 and 1992 (Interviews with the President, 13 November, and 11 December, 1991; Interview with Head, Policy and Planning, 31 October, and 11 December, 1991; Interview with Research Officer, 2 October, 1992). It has provided the Board members

and senior staff with the range of *futures* and the implications of these for education in N.S.W. to assist in developing the corporate level plans.

The processes of developing the corporate level plans has been, as reported in interview, largely, though not exclusively, modelled on two sets of experiences of the President referred to above. One has been the experience while Deputy Director-General of the N.S.W. Department of School Education in developing *Corporate* and *Strategic Plans* with external management consultancy advice and support. The second has been the experience with those Plans and in reflection on those processes (Interviews with the President, 13 November, 11 December, 1991).

At the first Planning Conference of the statutory Board in November, 1990, the materials on planning developed by senior management together with possible approaches to corporate planning have been discussed. An external consultant in corporate level planning has also been employed from a private sector firm to provide further advice on the nature of corporate planning and processes of developing corporate level plans. This consultant came from a firm which had been employed previously by the N.S.W. Department of School Education when the President held the position of Deputy Director-General.

The main components of the *Corporate Plan* have been developed at the conference. These included the *mission statement* which has been formed by consensus among Board members. The members have been divided into groups of three to five to focus on drafting specific corporate objectives (Interviews with the President, 13 November, 11

December, 1991; Interviews with the General Manager, Curriculum, 19 November, 9 December, 1991; Interview with General Manager, Examinations and Assessment, 19 March, 1992; Interview with Branch Manager, Policy and Planning, 31 October, 11 December, 1991; Interview with Branch Manager, Board Support, 19 January, 1992).

Drafts of the objectives have then been developed into a draft *Corporate Plan* with assistance of staff from the Policy and Planning Branch. The same branch also assisted in drafting the targets in the *Strategic Plan* after the Board had used the details in *Excellence and Equity* (November, 1989), the only curriculum reform guidelines available in documentary form from the Minister and the cabinet.

The Planning Committee of the Board reviewed the drafts and the Board endorsed the Plans in July, 1991, about seven months after the Planning Conference.

A copy of each has been given to the Minister for approval.

The formats of the *Corporate* and *Strategic Plans* are similar to those used elsewhere in public organizations in N.S.W. These follow the guidelines provided by the Office of Public Management referred to earlier and discussed already in Chapter 4. Copies of the first *Corporate Plan* and the first *Strategic Plan* are contained in Appendices G2 and G4, respectively.

The second period of corporate level planning has occurred since the two corporate level plans have been finalized by July, 1991. This period has been characterized by a review

of the *Strategic Plan* in the last quarter of each of the years, 1991 and 1992. As described in Chapters 4, there have been a number of amendments to the *Strategic Plan* in view of the first year's experiences in implementing it and in view of changing environmental influences including changing government expectations regarding curriculum development. Significant among these changes, as reflected in interviews and through observation, have been expectations for entrepreneurial activities in non essential support materials (Interview with Deputy Director, Corporate Services Unit, 1992; Interview with Manager, Product Development and Marketing, 7 January); expectations of higher efficiency in operations with the expectation of an annual reduction of expenditure (Interview with the President, 13 November, and 11 December, 1991; Interview with the Director, Corporate Services Unit, 19 March, 1992); expectations for a reduction in the number of new syllabuses available for secondary schools originally given in *Excellence and Equity* (November, 1989) (Interview with Manager, Curriculum Development and Registration, 7 January 1992); and the expectation for the Board to take more direct action in the areas of *social justice* and catering for disadvantaged groups of students through the curriculum and credentials (Interview with General Manager, Curriculum, 19 November, and 9 December, 1991; Interview with Manager, Curriculum Development and Registration, 7 January, 1992).

Unlike the process of developing the first *Strategic Plan*, the process undertaken each year in amending it has been much more participatory as management staff have been asked for feedback on the plan and proposed changes. A number of managers offered suggestions which they have reported as being taken into account in the subsequent modifications to the *Strategic Plan* (Interview with Branch Manager, Board Support, 22

January, 1992; Interview with Board of Studies Liaison Officers, 12 December, 1991; 30 January, 1992; 30 January, 1992).

Management staff have also been involved in a more thorough analysis of the planning environment. For example, in 1992 this process occupied a sequence of senior management meetings in September and October in preparing the 1993 *Strategic Plan*.

However, also unlike the first *Strategic Plan* which has been accepted by the Minister, there have been a number of suggested amendments for the 1992 plan. This appears to have occurred because certain strategies have not been closely aligned with government expectations in a dynamic environment (Interview with Branch Manager, Policy and Planning, 11 December, 1991; Observations, September, 1991 to May, 1992). The statutory Board subsequently undertook to revise a number of the commitments and targets given in the plan after which it has been accepted by the Minister (Observations, February to April, 1992).

A similar process has occurred in 1992 in reviewing the *Strategic Plan* and in developing more appropriate strategies for 1993.

There are two significant features of the processes of developing the *Corporate* and *Strategic Plans*. First, the President has played a leading role in initiating the processes of planning and maintaining the momentum of a pro-active approach in a relatively dynamic environment (Observations, October, 1991 to January, 1992). This appears to be related to three factors: the President is personally responsible to the Minister through

a *Performance Agreement* for the management and success of the Board; the President is an experienced corporate planner, unlike the majority of other Board members; and the President is responsible, as the Chief Executive Officer of the Board, for the implementation of corporate objectives (President's Performance Agreement, 1990-1991; 1991-1992; 1992-1993).

Second, as indicated in Office of Public Management documents on corporate and strategic planning referred to in Chapter 4, the Board members and senior management have had the main input for the *Corporate* and *Strategic Plans* but both senior and middle managers have also had an extended role for amendments to the latter. It has been frequently reported in interview that managers felt that the development of the first *Corporate Plan* and earlier *Strategic Plan* had not given them opportunities for involvement in corporate level planning which they knew little about yet they had responsibilities for achieving corporate objectives and the strategic targets within their own areas of responsibilities (Interviews with Branch Managers, 31 October, 1991; 9 December, 1991; 7 January, 1992; 13 April, 1992; 22 January, 1992; 31 January, 1992; 11 February, 1992; Interviews with Inspectors, 11 and 12 November, 1992; Interviews with Board of Studies Liaison Officers, 31 January, 1992; 11 December, 1991; 7 August, 1992; 24 March, 1992; 12 December, 1992; 30 January, 1992; 18 February, 1992; 12 May, 1992; 1 June, 1992; 7 August, 1992).

Divisional, Branch and Liaison Plans. Although *Divisional, Branch* and *Liaison* plans refer to different levels in the management structure and to the two different *Performance Agreements* and *Management Plans*, they are discussed together here as

they involve similar processes in planning.

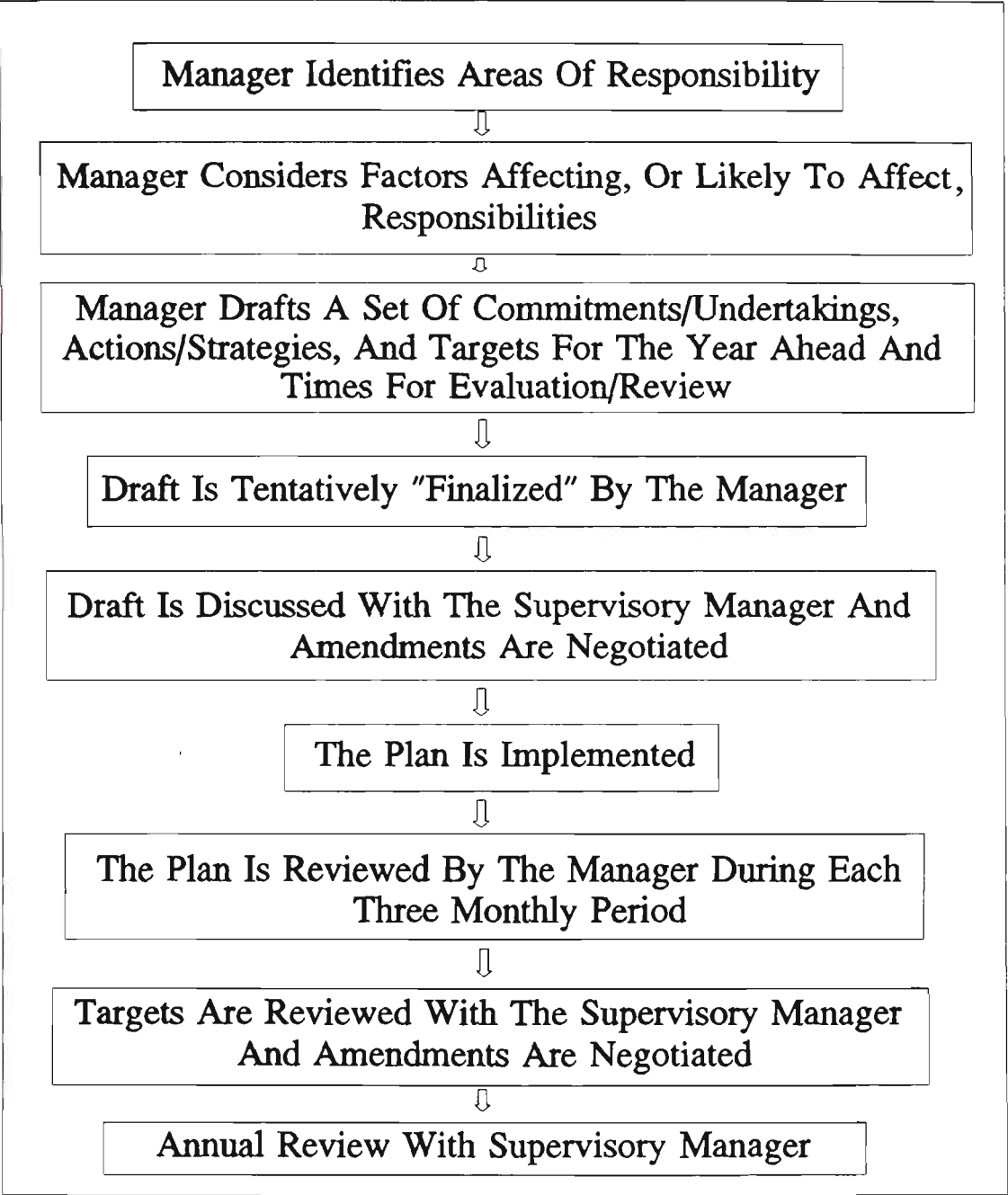
The processes of developing Divisional, Branch and Liaison Plans deal with the identification of specific targets and the general actions which are the responsibilities of the respective incumbent managers within a particular time frame.

Figure 5.4 presents a simple, general description of the planning process undertaken in Divisional, Branch and Liaison planning. Note that this is similar to the tentative, simple *linear* model on policy implementation developed in Chapter 2 as Figure 2.1.

The process is predominantly a *linear*, temporal sequence, which entails recognition of the need to plan, either because it is expected, or because it is perceived to be a vehicle for identifying the most effective and efficient means of achieving *targets*. Both of these explanations of the need for planning have been reported in interviews but the latter has been more frequently encountered in participant observation (March, 1991, to December, 1992).

In general, the development of these plans has been undertaken by the individual managers with *minimal* participatory decision making by their staffs. The other party to the plans has been the manager's immediate superior but the nature of the negotiation has been reported in interviews and through observations to be of varying forms. A number indicated that it has been accepted without detailed analysis; others indicated that considerable analysis had taken place during the negotiation process.

Figure 5.4 Policy implementation planning process undertaken by managers



The process has only differed marginally across Divisions, Branches and Liaison Offices. It has entailed the linking of the functions of each unit with the anticipated or known activities for the year ahead but in four, three monthly periods. The format of all management plans is similar to the *Strategic Plan*. A comparison is given within Appendix G1 and is also illustrated by comparing the plans in Appendices G4 and G5.

All Divisional and Branch Managers interviewed reported that they are required to review their plans at least by the end of each three monthly period, and to undertake a *consultative* performance appraisal session with their supervisory manager. Liaison Officers have been required to review plans each six months but during 1992 this requirement has been changed to the same three monthly review period as other management staff. Consequently, there is a high degree of *compliance* expected because of the particular process of plan development undertaken and process of plan and performance review.

Standing Procedures and Practices. The content of the plans described and discussed above tends to focus on implementing government curriculum and credentialling *initiatives* which is the focus of the present research. But there are also standing procedures and practices and their *on going* amendments which are not specifically identified in corporate level plans and in management plans. These are relatively *hidden* because they are frequently not published collectively or documented other than the initial decision approving of the practice. Their existence is embedded in *corporate practices* and relies on individual and corporate memory as well as documentation.

These procedures and practices come from two different legislative bases. First, there are those related specifically to the curriculum and credentialling reform policy. These include practices undertaken by the Board under previous legislation (*N.S.W. Education and Public Instruction Act*, 1987) which continued to apply to students undertaking the Higher School Certificate examination in 1992, and completing the School certificate up to 1994; and there are those related to the *N.S.W. Education Reform Act* (1990). Second, there are those derived from other legislation, such as, the *Public Sector Management Act* (1988), which focuses on certain practices and conditions affecting some operations within state government organizations.

However, the details of procedures and practices are similar across the two sets of curriculum and credentialling legislation because such procedures have tended to be carried forward from the provisions of one *Act* to the other. Thus, few differences in implementation of procedures exist but it is significant that these procedures and practices appear to be so well established that there is little reference to them. A number of Branch managers interviewed indicated that this latter characteristic has been to them a serious limitation in planning as these activities are the predominant form of work of many employees and should be clearly identified in both corporate level plans, and in performance agreements and management plans. Without these procedures which support the specific curriculum and credentialling changes, the implementation of many of the *initiatives* would be ineffective.

The development of standing procedures and practices, such as *special provisions* for students with physical disabilities attempting Higher School Certificate examinations,

however, entails either one of two levels of planning and amendments to plans: decisions by the statutory Board or one of its four standing committees described in Appendix C3; and decisions, under delegation, by senior managers and their staffs. Standing procedures and practices constitute relatively *hidden* plans which, nevertheless, allow personnel to implement routines without the need to seek a specific decision on each occasion a particular issue emerges. These are therefore indicators of more traditional, rational, *bureaucratic* approaches to effective *administration* of policy and set particular limits to implementation behaviour to ensure a relatively high degree of *compliance*.

Who Makes Planning Decisions ? The foregoing description of the three interrelated sets of planning processes recognized from the analysis of the data collected during fieldwork also indicates that there have been particular key personnel involved in making planning decisions. Although the members of the Board have been involved in developing and endorsing of the two corporate level plans and subsequent amendments, the President has been the main *planner*. The President has initiated the implementation planning process by *designing* the structure of the staff unit and resourcing it, by *initiating* and *guiding* the development of both the *Corporate* and *Strategic Plans*, and by developing his own *Performance Agreement* with the Minister which has served as the main model for the *Performance Agreements* of Senior Executive Service managers and most *Management Plans*. The direction taken in planning appears to reflect the President's experiences and perceptions of planning (Interviews with the President, 13 November, 11 December, 1991). The President, in particular, has had a comprehensive understanding of the policies to be implemented and the environmental factors influencing them reflecting the principle that policy must *mean* something for it to be

implemented (McLaughlin, 1987; Mountjoy and O'Toole, 1979).

Other key personnel in the implementation planning process are the Divisional and Branch Managers within the Board's head office location, and the Board of Studies Liaison Officer whose plans have involved implementing the Board's policies in the field. All of these have developed plans described in the previous section and in Chapter 4.

An important element is that this process has largely been undertaken by these staff members alone although there has been some informal involvement of staff within certain branches in reviewing and contributing to early drafts of plans. Liaison Officers have attempted to work on a common approach to planning through the sharing of ideas at Liaison Officer conferences in 1991 and 1992 but this has resulted in the details of plans being finalized differently by the individual and initially agreed directions being altered in their regional locations (Observations, January, 1991, to December, 1992; Interviews with Liaison Officers, 11 December, 12 December, 1991; 30 January, 31 January, 1992; 18 February, 1992; 24 March, 1992; 12 May, 1992; 1 June, 1992; 7 August, 1992). In 1992 there has been an individual approach undertaken by Liaison Officers and the attempt to take a common approach has been forsaken. However, Liaison Officer plans tend to be similar in structure and content as these are based on the same criteria as those underlying the *Strategic Plan*, and the President's *Performance Agreement*. It is only the style of presentation and the specific references to location that differ across these plans.

In the next section the questions on *the relationships among the components of the planning process* and *the degree to which the implementation planning process is linear* are answered together because of the high degree of overlap of these characteristics of planning.

What Relationships Exist Among the Components of the Planning Process ? To What Degree Is the Implementation Planning Process Linear ?

Both *linear* and *non-linear* relationships are evident among the components in the planning process. This is substantiated predominantly through modified participation and interviews. The characteristics of these relationships are now discussed.

There is an assumed *linear* relationship insofar as plans are expected to be a consequence of corporate level plans. It is useful again to distinguish two different forms of *linearity* referred to in Chapter 2. One form is based on time of development and an assumed *cause and effect* relationship. This entails an emerging temporal sequence of the processes of plan development in which *higher* level plans are the antecedents in time of *lower* level plans. Thus, a *lower* level plan would be developed following, in time, from the development of a *higher* level plan with the intention of indicating details of what the *lower* level manager is responsible for, and how these will be met within a specific time frame. This can be perceived as a *rational* form as it assumes that the developers of the *lower* level plans can wait till the *higher* level plan is completed. Though there has been a perception that this is an expected relationship

from evidence in most interviews and from observations, this form is not evident in the planning processes undertaken by the staff of the Board of Studies, N.S.W.

In the second form, it is the relationship of the content among the plans which is *linearly* related. This involves a high degree of *compatibility* of content across the plans developed even when the plans have not been developed according to an assumed temporal *cause and effect* sequence. The timing of the development of any one plan in relationship to other plans is not critical as long as the content is compatible and mutually supportive. This is the form of linearity which is more evident in the planning processes undertaken by the staff of the Board of Studies.

There are certain conceptual difficulties with this latter approach to *linearity*. The development of plans that ostensibly constitute a hierarchy without complete knowledge of the content of *higher* level plans cannot result in automatic compatibility. It is more probable that there are assumed, though unwritten factors, which have been communicated among managers, so that while higher level plans may as yet not be complete, the direction of those plans, including the tentative outcomes, and a generic understanding of the purpose of the organization, can result in plans being produced simultaneously across different management levels which are perceived to be compatible and mutually supportive.

There is also evidence of *non-linear* relationships reported by a number of branch managers and a number of Liaison Officers. These refer to *lower* level plans which have been developed without reference to the *higher* level plans. The focus of these

lower level plans is on content not specifically referred in *higher* level plans. For example, the plans developed within the first year of the Board's operations have been without the guidelines of the final *Corporate* and *Strategic Plans*. While they may be largely based on anticipation of the content using drafts, the development of these Branch and Liaison Officer plans either used previous experiences of planning or continued with the plans developed for the previous Statutory Board Directorate for which many of the managers had worked.

Furthermore, the *time-lag* between reformulation of corporate level plans, especially the annual modification of the *Strategic Plan*, and the reformulation of sub-corporate plans results in discrepancies between documented strategic targets and operational targets. This is particularly significant as amendments to performance agreements and management plans theoretically should depend on, and be highly correlated with the content of the higher level plans.

A result is that while these plans are generally compatible with the total systems plans they are not explicitly based on them as the systems plans have been finalized afterwards. Many also continued an orientation based on a another organization's corporate purpose which has been different from the Board of Studies, N.S.W. It may be that the general nature of many corporate objectives lends them to interpretations of compatibility with targets of *lower* level plans.

Rational and Interactive Models of the Implementation Planning Process

Both the *rational* and the *interactive* approaches to policy implementation planning discussed in Chapter 2 are evident in the implementation planning undertaken by the Board of Studies. To reiterate, on one hand, a *rational* approach focuses on direct, linearly related linkages between goals and the activities undertaken to achieve them. On the other hand, the *interactive* approach sees the process of implementation as negotiation and reformulating the implementation activities under the influence of factors, either internal or external to the organization, to the extent that the policy itself can be altered.

The evidence of the appropriateness of the dual models comes from two ostensibly conflicting elements. On one hand, the *bureaucratic* organization charged with the responsibility of implementing a particular public policy officially and formally would tend to follow a *linear* process whereby the intentions of the policy are followed by a *step-by step* sequence of appear to be *rational* actions. On the other hand, those involved in implementation planning do not necessarily have a perfect commitment to the linearly related process tend to lack comprehensive knowledge of all of the elements involved, and, simultaneously, are influenced by other factors in their planning decision making. These latter influences appear to come from personality, corporate culture, and perceptions of factors and the related judgements involved.

A consequence is that while the *rational* approach, encompassing the functional

perspective on organizational structure and design, appears to explain the implementation planning process at the *macro* level of organizational decision making, the interactive approach appears to explain the processes at the *micro* level. Thus, the dual models complicate perceptions of public policy implementation planning. It is evident that these need to be recognized as complementary approaches which can explain different aspects of implementation planning processes simultaneously.

Relatively Closed or Relatively Open Models of Implementation Planning

The focus in Chapter 2 on two contrasting systems models of organizations has served as a set of criteria against which to judge the degree to which the policy implementation planning process undertaken by the Board of Studies is *open* or *closed*, or has elements of both. It is apparent that both are evident but each relates to particular aspects of organizational decision making and its supportive infrastructure.

A *relatively closed system* appears to be evident in the expectations of behaviour held by the cabinet for the Board's actions in implementing policy, including planning actions and how the Board should officially respond. These expectations are described in specific legislation relating to the Board and its functions, the general expectations set out in Office of Public Management documents for an annual planning cycle of N.S.W. state government organizations and perceptions developed by the senior staff of the Board from interactions with senior state politicians. Of these three sets of sources, the last could undergo change as priorities of government are modified in response to social,

political, or economic forces. The control exercised by the Minister through legislative provisions for the Minister to approve of all curriculum developments (*N.S.W. Education Reform Act*, 1990, Part 4, Para 19 (a); Part 3, Para 8 (1) and 10 (1)) and through the *Performance Agreements* with senior staff of the Board, however, ensures that a high level of *compliance* between the actions of the Board and expectations held by government is maintained.

A *relatively open systems* approach is apparent in the implementation planning undertaken by the management staff of the Board, including junior managers. This seems to reflect individual interpretation of expectations for the Board and the influence of prior experiences in planning. A consequence is that the planning within the Board varies from that which explicitly acknowledges and closely follows official expectations held by the Minister, O.P.M., and senior management to that which follows the specific interpretation of the incumbent manager.

Therefore, the model of a public policy implementation planning system presented in Chapter 2 in Figure 2.4 has been supported by the findings. However, there is potential for individual sub-systems to be relatively closed.

Conclusion

This chapter has described the processes of implementation planning undertaken by the Board of Studies, N.S.W., and has attempted to answer the related five specific research questions developed in Chapter 2. The processes collectively are complex insofar as there are different processes occurring simultaneously and both *rational* and *interactive*

explanations of planning are evident. Thus, while there is substantial evidence for a *rational* model, especially through the formal processes expected by the N.S.W. Office of Public Management and the President's need to gain a very high degree of *compliance* of plans with the content of the *Performance Agreement*, there is also a high degree of *interaction* among the planners and varying degrees of *non-linearity*, particularly in details of content, among *lower* level plans.

Similarly, there is also evidence for a combined *static* and *evolutionary* approach. The *Strategic Plan* and the *sub-corporate* level plans have been changed each year to incorporate changing expectations and other environmental factors, such as changes in government priorities in curriculum development, and reduced real funding of the Board. Integral to these has been the finding that the processes which lead to an ostensibly fixed plan for a period of time, actually continue to operate, resulting in changes to plan implementation though the documented plan may remain unaltered until the required point in the annual cycle is reached and the manager undertakes *documented* revisions.

The next chapter focuses on the factors which influence the processes by identifying both those forces which affect the operation of the planning system and the inputs which are processed to become the implementation plans of the Board of Studies, N.S.W.

CHAPTER 6 FACTORS INFLUENCING POLICY IMPLEMENTATION PLANNING

Overview

The main findings with respect to the question on *What Factors Have Influenced the Implementation Planning Process Undertaken by the Board of Studies, N.S.W. ?* are described and discussed in this chapter. Although these influences have been indicated throughout the previous two chapters in the statement and discussion of the findings on the other two broad research questions, they are brought together here and elaborated.

There are two different aspects of this particular research question. These are the factors, *external* and *internal* to the Board of Studies, which have influenced the policy implementation planning process; and the reasons for the development of the policy implementation planning process which has been undertaken by the Board. Each is considered following an outline of the contribution of each method of data collection in answering the question.

Sources of Data

Table 6.1 presents the main external and internal factors influencing each of the groups

of implementation planning processes.

Documents. Documents developed by the state government about the curriculum and credentialling reform policy constitute the main, formal external influences on the implementation planning undertaken by the Board of Studies, N.S.W. Two main types of influences can be recognized in these documents. First, there are those relatively *passive* influences in the form of statements of the government's policy on curriculum and credentialling and which are perceived by senior staff as policy directions for the Board to implement in its operations. Second, there are those relatively *active* influences in documents which specify what the Board is expected to do. Both forms of influence tend to be reflected in each of the main documents.

The most significant of the documents of the state government and its Ministry for Education and Youth Affairs are the *Carrick Report* (September, 1989) in which recommendations are given for the establishment of the Board and for restructuring of the school, level curriculum in N.S.W., Kindergarten to Year 12, into Key Learning Areas and for credentialling change in secondary education; *Excellence and Equity* (November, 1989) which provides general expectations for the Board with respect to specific proposals for curriculum and credentialling reform; and the *N.S.W. Education Reform Act* (1990) which puts into legislation the expectations for the Board and its functions in the total context of the curriculum and credentialling in school education in N.S.W. These three documents differ in the level of details specified or implied for Board action. On one hand, the *Carrick Report* (September, 1989) and the *N.S.W. Education Reform Act* (1990) indicate the *expectations* of the government for the Board

Table 6.1 External and internal factors influencing policy implementation planning undertaken by the Board of Studies, N.S.W.

Sources of Data	Design Planning		Macro Planning Processes		Micro Planning Processes	
	External Factors	Internal Factors	External Factors	Internal Factors	External Factors	Internal Factors
Documents	<ul style="list-style-type: none"> Functional Expectations of the Board given in <i>N.S.W. Education Reform Act</i> (1990) Recommendations of the <i>Carrick Report</i>, September, 1989. <i>Scenarios</i> (1990) 	<ul style="list-style-type: none"> Established structure of previous Statutory Board Directorate of N.S.W. Department of School Education 	<ul style="list-style-type: none"> Funds O.P.M. requirements Premier's Memoranda on Performance Management <i>Scenarios</i> (1990, 1991) 	<ul style="list-style-type: none"> Briefs for Planning Conferences 	<ul style="list-style-type: none"> <i>Scenarios</i> Document O.P.M. requirements Premier's Memorandum on Performance Management (No. 91-28) 	<ul style="list-style-type: none"> Plans of senior managers as models
Modified Participant Observation	<ul style="list-style-type: none"> Model of previous N.S.W. Department of School Education structures 	<ul style="list-style-type: none"> Personal preferences of President 	<ul style="list-style-type: none"> Funds National Profiles 	<ul style="list-style-type: none"> Practices and values inherited from previous Board support units Expectations held by senior management 	<ul style="list-style-type: none"> Expectations held by senior management National profiles Funds 	<ul style="list-style-type: none"> Practices and values inherited from previous statutory Board Culture evolved from Statutory Board Directorate
Interviews	<ul style="list-style-type: none"> Other state public organizations Model of previous N.S.W. Department of School Education structures Functions of Board identified in <i>N.S.W. Education Reform Act</i> (1990) 	<ul style="list-style-type: none"> Personal preferences of the President Experiences of senior management staff 	<ul style="list-style-type: none"> Expectations for the Board held by the Minister and Cabinet Expectations for planning described by the Office of Public Management Funds National profiles 	<ul style="list-style-type: none"> High value placed on management processes by the President Board practices Experiences of the staff in planning Perceptions of <i>client</i> needs Perceptions of the <i>nature of the expectations</i> of the government for the Board Perceptions of pressure from outside of the Board 	<ul style="list-style-type: none"> Funds Plans of supervisors <i>Corporate Plan</i> <i>Strategic Plan</i> 	<ul style="list-style-type: none"> Personal preference of manager Experience of manager Perceptions of the expectations held by <i>superior</i> managers

as a set of functions, in *general terms, in the areas of curriculum and credentialling*. On the other hand, *Excellence and Equity* (November, 1989) sets down government expectations in specific details of time frames and syllabuses required.

Excellence and Equity (November, 1989) has been the state government's formal policy, that is, a *white paper*, on curriculum and credentialling from 1989 to 1992. It indicates the main areas the Board is expected to address. It has been developed on the basis of three sets of information:

1) the *Carrick Report* (September, 1989) which has been accepted by state cabinet and contained the majority of curriculum and credentialling changes subsequently given in *N.S.W. Education Reform Act* (1990);

2) information and feedback which the government had received on curriculum and credentialling in school level education in N.S.W. prior to and following the success at the state election in 1988 (Interview with the President, 13 November, 1991; Interview with General Manager, Curriculum, 19 November, 1991); and

3) the government's stated *philosophy* on curriculum (*Excellence and Equity*, November, 1989, pp. 6-13).

A significant characteristic of this group of documents is that they *predate* the establishment of the Board and are thus criteria against which to judge the plans, and the planning processes subsequently undertaken by the Board.

As indicated above, none of these published documents on the expectations for the Board's functions indicates any expectation for a *planning process*. There are a number

of plausible explanations for this, including that the government, when fulfilling its legislative function, is concerned predominantly with the *intentions* of public policy not the details of implementation which is delegated to the implementation organization from within the government's executive function; that there is an unwritten assumption that public organizations will undertake planning as a management function of the organization; and that the specific requirements of planning are detailed elsewhere, namely in other N.S.W. state government documents, such as, those of the Office of Public Management of the Premier's Department.

The explicit, formal expectations are detailed as *functions* of the Board. The sections of the *N.S.W. Education Reform Act* (1990) which refer to the Board and its functions can be perceived as the formal expectations for, and appropriate outcomes the government requires of, the Board. These functions are presented in Appendix A1.

A prominent feature of the development of the *education reform* legislation during 1989 and 1990 is that the process retained the recommendations of the *Carrick Report* (September, 1989) with only one amendment: the proposal for the registration of government schools has not been kept. Thus, the *draft Bill* which the *Carrick Committee* had been required to develop in its *Terms of Reference* is the basis of the *Act* as finally passed by state parliament in June, 1990.

Note that three of the informants who have provided details on their involvement in planning in the research had been involved with the *Carrick Committee*: one as Committee member, and two as a members of the secretariat.

The other two documents referred to above, while compatible in most respects with the *Act*, reflect prior formal expectations which have altered only marginally as intra Parliamentary consensus have occurred in debating the *N.S.W. Education Reform Bill*, though informal, and potentially unknown, expectations which are different to the formal, could exist. These latter expectations have been difficult to determine accurately, but if they do exist could be different to the formal expectations and could have an influence on both the operations of the Board and on the judgements made about the Board by the government.

Documents dealing with planning which have been produced by other state government agencies include a set on corporate and strategic planning from the *N.S.W. Office of Public Management (O.P.M.)*, and *Memoranda* from the Premiers Department on requirements for *Performance Agreements* and *Management Plans* referred to already in Chapter 4. In general, though the earliest issues in the O.P.M. series on strategic management date from 1989, not all were available till after the Board had commenced the processes of planning. However, the President has indicated in interview (Interview with the President, 11 December, 1991) that much of the content of the O.P.M. documents has been known to senior management from experience and from drafts.

The former of these O.P.M. documents indicates the cycle of corporate planning to be followed each year, but not the details of structure or content which are left to each state public organization to formulate and develop.

The *Memos* from the Premier's Department specify dates by which certain staff are to

have agreements with supervisory managers, but the details of implementation are left to organizational management.

Interviews. Interviews have provided data on the factors influencing the planning process. These tend to complement the data obtained from documents. Interviews with the President (13 November, 1991; 11 December, 1991), the General Manager, Curriculum (19 November, 1991; 9 December, 1991), the General Manager, Examinations and Assessment (19 March, 1992), the Manager, Curriculum Development and Registration (7 January, 1992), the Manager, Policy and Planning (31 October, 1991; 11 December, 1991), and the Manager, Communications (7 January, 1992), have provided a range of influences on the planning process. These influences include not only political, economic, and social factors in the external environment, but also the perceptions of the magnitude these. For example, in the first 12 months of the Board's operations, informants have identified the expectations for the Board specifically given in the *Carrick Report* (September, 1989), not the similar functions given in the *N.S.W. Education Reform Act* (1990), as the main influences on the Board's activities. These are the areas which the Board would be required to address in its operations. Additionally, the President, the Manager, Policy and Planning, and the Director and Deputy Director, Corporate Services Unit, identified the necessity for the Board to follow the guidelines given in the O.P.M. documents, especially, the requirement to comply with the planning cycle applying to government organizations in N.S.W.

Data collected from interviews, however, has allowed the recognition of both the inputs to the planning system as well as the influences on the planning system as a whole. On

one hand, the former includes expectations for the Board in accordance with the functions given in the *N.S.W. Education Reform Act* (1990), finance and other resources which both facilitate planning and place limits on what is planned, and the experience and skill of staff and Board members in planning related decision making. On the other hand, the latter includes the reasons for the design of the planning system, such as, O.P.M. guidelines, personal preferences of the President and other senior staff and the evolutionary development of the system through the decisions of individual planners which have been influenced by the level of knowledge and understanding of Board policies and of expectations for planning held by senior management staff.

An influence emerging during the period of the study and reported by all senior managers has been the development of a national curriculum framework or profiles developed through Australian Education Council by the state Ministers for Education. While these national orientation has been recognized as being potentially significant during the period of the study from June, 1990 to December, 1992, it is important to note that senior management has recognized that national curriculum outcomes will have an increasing influence on Board operations including planning.

Modified Participant Observation. This method has gained less relevant data than interviews on the factors influencing policy implementation planning. This appears to be due to tendency for the staff of the Board to omit explicit reference specifically to factors influence planning. Consequently, it has necessitated that the researcher undertake a more interpretive role of the observations to determine influences on planning processes. There is one major exception to this. In developing the

corporate level plans in 1991 and 1992 the Board has used the *Scenarios* document referred to earlier. The senior executive also undertook a *Strengths-Weaknesses-Opportunities-Threats* (S.W.O.T.) analysis in developing the 1993 *Strategic Plan* at its weekly meetings during the latter part of 1992. A S.W.O.T. analysis, which is described in an O.P.M. *Strategic Management Brief* (2, 1990, p. 5) is a standard device used in analysing the strategic planning environment by focusing on internal strengths and weaknesses of the organization, and the opportunities and threats coming from the external environment (Observation of Weekly Senior Executive Meetings, September, and October, 1992).

The factors recognized through the *Modified Participation Observation* Method, however, largely corroborate the data gained from documents and from interviews. First, the functions of the Board given in the *N.S.W. Education Reform Act (1990)* and the *Carrick Report* (September, 1989) constitute the main general expectations for the Board. These functions appear to have been perceived by managers as the framework to guide all Board activities in curriculum and credentialling, including curriculum development, and administering the *School Certificate* and the *Higher School Certificate* programs; and in the registration and accreditation of non-government schools and the registration of home schools.

Second, the specific requirements for the curriculum and for credentialling reform identified in *Excellence and Equity* (November, 1989) have been perceived as important influences on Board operations as the Board has been seen as the government organization responsible for providing the framework for the majority of these initiatives

to be implemented by schools and through school systems.

Third, analysis of the data gained from modified participant observation about the broader environment has resulted in the recognition of a range of factors which influence the implementation planning system. Included in the internal influences are the strengths and weaknesses that characterize the Board. Included among the external environmental influences has been emerging national curriculum frameworks. Although these national frameworks were not finalized till 1993, after the direct observation has finished, these have been acknowledged by Board senior management during 1992 as directing syllabus development from late 1993. Consequently, these influence planning and also act as *inputs* for the planning system.

External and Internal Factors Influencing Implementation Planning Processes

The *factors* influencing policy implementation planning undertaken by the Board are categorized here into *external* and *internal* which is the classification of the *environments* of hypothetical relatively open systems discussed in Chapter 2. The findings on the two specific research questions on external environmental and internal organizational influences are given together because of the high degree of interaction between the two environments.

Table 6.1 indicates the main influences on policy implementation planning. For both external and internal sources, there are three different, though interrelated sets of factors.

External environmental factors can be summarized as the expectations of the state legislature, the cabinet and Minister, and of other state government organizations, such as O.P.M.; resources allocated as funds through the Board's budget; an emerging federal influence through national curriculum frameworks on curriculum development; and models of planning used by other state government organizations, such as, the N.S.W. Department of School Education.

Internal organizational factors can be summarized as perceptions held by managers and planning staff of the expectations of legislation and of the Minister and Cabinet; the structure, practices and values in planning inherited from previous Board support organizations; personal preferences and experiences of managers; perceptions of pressure from outside of the Board; perceptions of client needs; and the plans of higher level managers.

A major consideration in discussing factors which have influenced the policy implementation planning process is the *dynamic* nature of influences. The main data collection period has occurred over 30 months in which time there have been changes in planning and in the plans produced as well as in the factors influencing them. This is evident in the modifications to each plan which have occurred over the study period. These modifications reflect both external and the internal environmental changes but there are also the constant, often subtle, undocumented changes. It is essential then to recognize this dynamic dimension because the relative influence of factors, as well as the nature of factors, has undergone change.

As indicated in the sections above in this chapter on the contribution of the sources of data, external factors include expectations of government, resources, and anticipations of future environments such as emerging federal influences through national profiles. However, the perception of the expectations of government held by the management staff of the Board appears to be the main influence on the planning process and on content of plans. This can be linked to the hierarchical performance management system used by the Board whereby each manager has a plan which identifies personal responsibilities and accountabilities as their agreement with their immediate superior manager. As all plans are linked with the corporate level plans, and with the President's *Performance Agreement*, then each plan contributes to the catering for the external factors accommodated by these plans.

Internal organizational factors appear to have changed also over the period of the study. These internal changes appear to be a response to the changes in the external influences and the development of an organizational culture. The main areas of change are the *perceptions of the expectations of the government held by senior management* which reflect a change in priorities for syllabus development (Observations, July, 1990, to December, 1992; Interview with President, 11 December, 1991; Interview with General Manager, Curriculum, 9 December, 1991; Interview with Branch Manager, Curriculum Development and Registration, 7 January, 1992; Interview with Board Inspector, 12 November, 1992), a *change in the perception of the status of the credentials* (Observations July, 1990, to December, 1992; Interview with General Manager, Examinations and Assessment, 19 , March, 1992), the *development of an entrepreneurial strategy* (Observations, December, 1991 to June, 1992; Interview with the President, 11

December, 1991; Interview with Deputy Director, Corporate Services Unit, 30 January, 1992; 18 February, 1992), the *incorporation of a national perspective on curriculum* (Observations, March 1991, to December, 1992; Interview with Branch Manager, Policy and Planning, 11 December, 1991; Interview with General Manager, Curriculum, 9 December, 1991; Interview with Board Inspector, 12 November, 1992), and a *need to be more cost effective* (Observations, October, 1991, to March, 1992; *Strategic Plan*, 1991-1992; Interview with Director, Corporate Services Unit, 19 March, 1992; Interview with Deputy Director, Corporate Services Unit, 18 February, 1992; Interview with Branch Manager, Administration, 13 April, 1992; Interview with Branch Manager, 13 April, 1992).

A potentially significant influence on implementation planning has been the existence of a relatively large curriculum unit within the N.S.W. Department of School Education, the largest client of the Board. Though no specific data has been obtained on the relationship the Board and the Department, it appears that the Department's curriculum unit, which previously had developed K-6 syllabuses for government primary schools and syllabuses and support materials for secondary schools on behalf of earlier secondary credentialling authorities has maintained much of its curriculum design infrastructure and capability though these functions have shifted to the Board of Studies through the *N.S.W. Education Reform Act* (1990). The relationship between the Board of Studies, N.S.W., and the N.S.W. Department of School Education could be the focus of further research on bureau-politics, including the degree to which inertia of an earlier curriculum design function, and the maintenance of a large curriculum design capability affect, not only the planning of the implementation of education reform policy, but also

the extent to which the intentions of the policy can be met. Such research would allow the exploration of what Bardach (1977), Brodtkin (1990), Pressman and Wildavsky (1979) and Ripley and Franklin (1982) see as critical bureau-political factors in public policy implementation.

Reasons for the Particular Policy Implementation Planning

Process Undertaken

A number of external environmental and internal organizational factors provide plausible explanations of the particular policy implementation planning process undertaken by the Board of Studies, N.S.W. These influences are relatively complex, not only because the sets of external and internal factors indicate that there are two interrelated *dynamic* environments, but also because three sets of policy implementation processes have been recognized in the study. To re-iterate, each process refers to a different level of planning in the organizational planning system: *processes of planning and designing the Board's organizational structure*; *macro planning processes*; and *micro planning processes*.

The reasons for the particular implementation planning process undertaken appears to be linked to the way the Board has addressed external and internal influences. These influences are the *dilemma* faced by the Board in meeting expectations for significant curriculum and credentialling reform, as well as other functional requirements, within a relatively short time frame; the *dynamic* nature of the expectations for curriculum and credentialling reform and the responses of the Board to these over the study period; and

staff *planning experiences, perceptions and preferences*. There is also the less plausible possibility of *random* or *ad hoc* behaviour in implementation planning. These reasons are now examined.

Expectations for Significant Reform within a Short Time Frame. Of particular significance for planning processes have been the *expectations* for the Board, as indicated in the *N.S.W. Education Reform Act* (1990), and in *Excellence and Equity* (November, 1989), both of which have included the main curriculum and credentialling reform recommendations as well the recommended functions of the Board given in the *Carrick Report* (September, 1989).

Details of these expectations as functions are given in Appendix A1, while curriculum and credentialling reform expectations have been discussed in Chapters 4 and 5. Perceptions of these expectations, identified through the three data collection instruments, are given in Appendices C4, D4 and E5. Appendices C4, D4 and E5 also indicate the degree to which the Board has met these expectations.

Besides expectations for curriculum and credentialling reform, there has also been a relatively large number of other requirements from legislation and the state Cabinet which the Board has had to cater for in planning. These other expectations have included meeting the legislated functions of the Board to recommend the registration of non-government schools to the Minister; to accredit non-government schools to conduct programs leading to the award of credentials administered by the Board; and, with respect to role of certain senior Board staff as *Authorized Persons*, to recommend the

registration of home schools to the Minister (*N.S.W. Education Reform Act*, (1990), Part 7, Paras 70-74; Part 9, Paras 102 (b), (c)).

To meet curriculum and credentialling reform expectations, the Board has had to overcome the dilemma referred to above. On one hand, it has been expected to become established and, as well as carrying out its other functions, to produce a relatively large number of syllabuses and support materials, and changes in credentialling, for the largest client group in school level education in Australia. On the other hand, it has had a relatively short time frame of 18 months, from June, 1990 to December, 1991, to meet the deadlines expected by the Minister and Cabinet (*Excellence and Equity*, November, 1989).

Thus, the perceived short time frame for undertaking significant change in curriculum and credentialling to meet the implementation dates given in *Excellence and Equity* (November, 1989) has been a major influence on the manner in which the implementation processes have been undertaken (Observations, July, 1990 to November, 1991; Interview with President, 11 December, 1991; Interview with Branch Manager, Curriculum Development and Registration, 7 January, 1992). The curriculum and credentialling reforms have necessitated hurried operational changes which have resulted in the relatively fast development of plans. Simultaneously, there has been what could be perceived as conflicting internal management expectation that there should be feedback on drafts of syllabuses and the Board's own implementation policies from a broad cross section of stakeholders as well as the involvement of representatives of the main groups in education in N.S.W. in corporate level decisions, all of which have

necessitated considerable time.

Furthermore, along with the expectations of Cabinet specifically for curriculum and credentialling change has been the emergence of expectations for more efficient and more effective management of public organizations (Interview with Director, Corporate Services Unit, 18 February, 1992; Interview with Deputy Director, Corporate Services Unit, 30 January, and 18 February, 1992; Interview with the President, 11 December, 1991; Interview with Manager, Finance, 13 April, 1992; Interview with Manager, Administration, 13 April, 1992). This had been announced by the government before gaining office in 1988 (N.S.W. Liberal Party. 1988a, p. 22; 1988b) and has been particularly evident in the series of documents produced by the Office of Public Management and a series of *Memoranda* issued by the Premier's Department directly and referred to earlier in Chapter 4. The O.P.M. documents have given the expectations for a *cycle* of corporate planning within the government's yearly cycle of public financial management and accountability while the *Memoranda* have indicated the levels of management which have been progressively required to develop *Performance Plans*. Together, these expectations have been a major influence on the nature of the Board's policy implementation planning process because the cycle has established a broad structure and time frame for planning and plan evaluation; and the *Memoranda* have resulted in an increase in the number of levels of management developing implementation plans.

The concurrent development of the three sets of planning processes has been a significant factor contributing to the complexity of response to the expectations. Each

planning process has reflected perceptions held by the President for the areas which have needed to be addressed in planning if the expectations for curriculum and credentialling reform, and the supportive undertakings given in the President's *Performance Agreement* were to be met. However, because of the relatively short time frame and the relatively large number of ostensibly related plans being developed with minimal resources, especially during the first 12 months of the Board's operations, some theoretically *a priori* plans, such as the corporate level plans, have been developed *after* theoretically consequential plans, such as, *Performance Agreements*, and *Management Plans*. This temporal *non-linear* relationship among implementation plans has been discussed earlier in Chapters 2 and 4.

Dynamic Nature of the Expectations. The *dynamic* nature of the expectations for curriculum and credentialling reform appears to have had an effect on implementation planning. Over the period of the study, there appears to have been change in perceptions held by the senior executive of the expectations of the Minister and Cabinet. Adaptation of the planning process has ensued as the key players in the Board organization have looked critically at the intentions of the policies and the results of interactions, and have developed a more enhanced meaning of the reform policy and the policy contexts for which planning has been undertaken. Changes in the perception of informants of the expectations of government for the Board are summarized in Appendix D4.

Changes in the expectations for the Board held by the Minister and Cabinet appear to have had significant influence on the implementation planning process. These include

alterations to priorities due to reductions in funding to state government organizations; and the emergence of new priorities, such as, the development of national curriculum frameworks following agreements among the state Ministers meeting in the Australian Education Council to guide state syllabus development and state assessment and reporting of students. There have also been changes in expectations, such as, that vocationally oriented courses, also acceptable for university entrance, will be developed in response to Cabinet's perception of the emerging needs and expectations of the clients (Interview with the President, 11 December, 1991; Interviews with the General Manager, Curriculum, 19 November, and 9 December, 1991; Interview with Manager, Policy and Planning, 31 October, 1991; Observations December, 1990, to December, 1992)).

It has been evident in the analysis of the main documents from the state Cabinet which describe expectations for the Board (*Carrick Report*, September, 1989; *Excellence and Equity*, November, 1989) that emergent expectations after the Board's establishment are in contrast to the relatively *stable* expectations over the period leading up to the passing of the education reform legislation. Significantly, there was only one change in the details of policy prior to the *N.S.W. Education Reform Act* (1990). This is that the recommendation given in the *Carrick Report* (September, 1989) and accepted by state Cabinet that government schools, as well as non-government schools, would be required to undergo registration and accreditation regularly through the Board of Studies has been dropped in the latter stages of debating the *Education Reform Bill* in state Parliament.

Because the curriculum and credentialling reform policy has involved significant change rather than continuing or modifying implementation of an existing public policy, there

are a variety of ways that the policy has been perceived by the stakeholders. In addressing these, the implementation planning process has entailed using a *consensus* model which allows involvement of stakeholders and the modification of proposals made by the Board. This approach characterizes both planning undertaken by the Board and staff, and the development of proposals for implementation guidelines and procedures using community feedback which are incorporated in planning.

Board management's perception of change in the expectations of *clients*, however, appears to have had a significant impact on the policy implementation planning processes undertaken by the Board (Observations, June, 1990 to December, 1992). Clients and client groups appear to have undergone changes in their perceptions and expectations of the Board and of the reform policy over the period of the study (Observations, June, 1990 to December, 1992). Some clients, including teachers, school systemic managers, other government organizations involved in school level education, and parents, may have initially reacted according to their perception of power or authority, and to the notion that the Board and the reform policy have been a change from the relatively secure existing situation, including established syllabuses and procedures. In particular, there have been implications for certain curriculum areas. For example, the proposal to remove the subject *Home Science* from the secondary curriculum, has frequently been reported as being a threat to job security and career paths of *Home Science* teachers and support staff (Observations, June, 1990 to December, 1991). No conclusions can be made about the influence of these factors in modifying the reform policy by Cabinet but it appears that the Board has been adaptable, though still meeting the requirement of *Excellence and Equity* (November, 1989), for

example, by developing two new sets of syllabuses to replace the *Home Science* syllabuses and to accommodate the concerns expressed about the loss of *Home Science*.

Such inputs have influenced the character of the planning process by maintaining a degree of *openness*. It could be argued that to be successful in implementing public policy effectively, there is a need to be responsive to the ways the clients perceive the policy and the implementation organization. At the same time there is a need to take into account the original intentions of the policy. Because the expectations in statute and the general expectations in the other documents have not provided a great deal of information about any requirements of planning other than general outcomes, it has been left to management to decide how the process should occur, and, consequently, how to respond to changing expectations of Cabinet and clients.

These influences then seemingly have had an impact on the planning process. Adaptation of government expectations has occurred because of a reported need to respond positively and effectively to client needs and also to changes in the government's policies on public management performance and to an emerging policy of the N.S.W. Cabinet to achieve cost reductions and productivity savings in public organizations.

However, the general support of the Minister and Cabinet for the Board program of curriculum and credentialling development appears to have been modified due to the economic recession experienced over the period of 1990 to 1992, resulting the requirements for government authorities to reduce spending (Observations, November,

1991, to December, 1992; Interview with the President, 11 December, 1991; Interview with Deputy Director, Corporate Services Unit, 30 January, 1992, and 18 February, 1992; Interview with Manager, Finance, 13 April, 1992). Consequently, some of the initial proposals made by Minister and Cabinet and initially planned for by the Board for major curriculum enhancement, such as, new courses in *Australian Studies* (Years 7-10, and 11-12) and *Religious Studies* (Years 7-10) (*Excellence and Equity* (November, 1989, p. 39) and the development of a range of 1 Unit H.S.C. courses (*Excellence and Equity*, November, 1989, p. 32) have now been temporarily postponed (Interview, Manager, Curriculum Development and Registration, 7 January, 1992; Interview with Manager, Product Development and Marketing, 7 January, 1992; Observations July, 1991, to December, 1992).

Changes in the government's preparedness to support particular propositions that the Board itself has developed have affected the policy implementation planning processes by necessitating a capacity for plan revision through interaction with the evolving policy. Thus, while the Board management has planned to implement the curriculum and credentialling reform policy as indicated in the *Carrick Report* (September, 1989), *Excellence and Equity* (November, 1989) and the *N.S.W. Education Reform Act* (1990), and the changing expectations, the process of planning has led to some significant modifications in the policy. Although the intentions have been met in general terms, such developments as changes in the time frame for the requirement to use a new syllabus in *Australian History* as required by *Excellence and Equity* (November, 1989), apparently reflect a change in priorities and the capacity of the Board, using a consensus model of syllabus development, to produce such a document.

Lack of Detailed Government Planning Guidelines. An altogether different consideration, reflecting discussions earlier in Chapters 4 and 5, has been that no detailed guidelines or expectations appear to have been provided or available to the Board for undertaking the implementation planning process. This has been recognized in all sources of data, especially, in interviews with the President. There are, of course, such general expectations as cost efficiency, but it has been left to management to select an appropriate process or processes to undertake policy implementation planning. Hypothetically, a lack of detailed guidelines could allow a very adaptive approach, but it could also result in adherence to a conventional static model or blueprint.

In this respect, a significant influence appears to have been the confidence in the successes of planning undertaken previously by managers with planning responsibility, especially the President and senior staff (Interview with the President, 13 November, 1991; Interview with General Manager, Curriculum, 19 November, 1991). Consequently, it appears that managers have tended to follow relatively static models of planning with a degree of adaptation to external changes through content alterations rather than through alterations to the process itself.

There have been many unknown elements in the change though some features have been similar to those in the existing curriculum and credentialling requirements. The general intentions, as described in government policy, such as, policy statements, and legislation, can be interpreted as too generic to allow the pinpointing of what particular process should occur. A great deal of the implementation of the reform policy, including

implementation planning has seemingly been based on a *discovery* approach by the participants with reliance on prior experiences. It could be anticipated that over time and after the stakeholders have become socialized in the practices and procedures of the Board of Studies, there could be a different outcome to the ones initially observed. Nevertheless, the approaches taken in implementation planning can be used as a set of criteria to judge any further modifications to the planning process.

Staff Planning Experiences, Perceptions and Preferences. Another reason for the Board's approach to the process of implementation planning relates to staff. The staff involved in planning have included some who had been employed by the previous statutory Board of Secondary Education's support organization. Most of these have had experience in planning and policy implementation by a statutory board. These experiences appear to have served as a model for planning. In a number of cases, the initial plans developed by them for the Board of Studies have been similar to their previous plans developed in support of the Board of Secondary Education. This is particularly evident in the plans of eight of the ten Liaison Officers and supported by data by interview with the Liaison Officers and observations over the period June, 1990, to December, 1992.

There have also been staff members who have been recruited at various points after the Board's establishment. A number of these staff members have had experience as clients of the Board through working in schools and school systems but others have worked in other, unrelated public organizations. Because of such differences in training and previous employment, there have been wide ranging differences in planning perceptions

and knowledge.

For both the experienced staff members and the newer staff members there has been a degree of learning needed. The staff members with previous planning experiences with a statutory board support unit have needed to evaluate practices in view of the underlying values in the reform policy and the different operational policies formulated to implement this and an emerging organizational culture of a new Board. The newly recruited staff members have been undergoing socialization in the organizational culture, frequently, unaware of certain procedures and some of the protocols which have existed.

As a result, there is diversity of approaches of staff in the implementing planning process. On one hand, there has been the potential for a substantial *conservatism* by referring back, and adhering, to previous practices. This is evident in the use of models from the previous statutory board support organization and models of planning used by the N.S.W. Department of School Education. On the other hand, there has been the potential for a high degree of *discovery* and *creativity* in planning but these attributes are not evident in the structure and content of the planning process and appear to, exist predominantly in the individual approaches to personal, micro plans of particular managers.

Significantly, the initiation and subsequent character of the planning process appears bound up with particular *personalities* of managers. Many of these *personalities* have had particular experiences, including practical experiences in policy formulation and planning, as well as the academic study of planning and the observation of planning

elsewhere. These experiences have provided both a particular repertoire of knowledge and skills, and confidence in the ways in which planning can be done, resulting in a specific paradigm of planning which includes imperfect knowledge of planning models and influences.

It also appears that the personality of the chief executive and the experiences of the senior executives and middle managers have had a major influence on how the Board operates and on how the particular planning process has occurred. It is possible to speculate that different personalities would have resulted in different procedures though this has not been a specific concern of the study. This, of course, could be the focus of a longitudinal study of policy implementation planning.

The foregoing analysis of influences on the character of the policy implementation planning process also provides an explanation of the dual *linear* and *non-linear* implementation planning process have been referred to above. Briefly, these seem to be a consequence of the lack of a predetermined process and the changing perception of the Board and the reform policy by the stakeholders which have led to a pursuit of a process which has attempted to support the *faithful* implementation of an evolving policy and has promoted support to the *dynamics* of stakeholder perceptions.

A Less Plausible Explanation. Another hypothetically possible explanation of the policy implementation planning process undertaken is more difficult to demonstrate. It could be that the policy implementation planning process undertaken is random and spontaneous. Thus, there would be no pre-planned process. In such a case,

a manager would be adaptive without necessarily consciously understanding a process or a procedure that could be used to arrive at a plan. This approach is a much less plausible explanation because most of those involved in planning at the senior level have had both substantial experience in, and are conscious of what constitutes, planning in other organizations. This has been apparent in *interviews* and through *participant observation*. But it does pose one particular hypothesis which speculates on an alternative to a relative *rational* process.

If the planning process has not been chosen deliberately, and has not even been recognized as a planning process by participants, then it could be explained by the notion of *muddling through* (Lindblom, 1959). Given the short time frame applying to the implementation of the N.S.W. curriculum and credentialling reform, this approach appears to be an ineffective procedure although at the same time it could be a useful way of allowing the recognition of particular influences on planning as they become evident. Participants would discover that something must happen beyond setting broad goals or intentions. Consequently, by reading about planning and attempting to determine what other managers do in planning, and negotiating the planning process, a plan is produced. However, it does imply a certain degree of inefficiency in time and in arriving at a quick solution. The implausibility of this approach suggests it does not appear to be a realistic explanation. There has been no evidence for it in the planning processes undertaken by the Board.

Conclusion

The focus in this chapter has been on the external environmental and the internal

organizational factors which have influenced the policy implementation planning process undertaken by the Board of Studies, N.S.W., and the reasons for the development of the particular process. It can be concluded from this examination that these factors are linked with the dual *rational* and *interactive* processes pursued. The policy requirements, the expectations expressed as functions for the Board and the changes in curriculum and credentialling requirements for N.S.W. schools, together with expectations for an annual planning cycle, performance plans and budgetary efficiency constitute the more *rational* influences on planning. The perceptions of the significance of these, the *personal preferences* for particular styles of planning and priorities along with the consensus approach to decision making exemplify the more *interactive* elements in the process. The consequence is a planning system which entails the products of these factors and which provides a guidance system for the implementation of the public policy.

The next chapter brings together all of the findings and discussion undertaken and relates it back to the theoretical and empirical perspectives identified in Chapter 2.

CHAPTER 7 CONCLUSIONS

Overview

This concluding chapter has four purposes. It restates the main findings of the research in summary form; it relates these findings to the theoretical and empirical perspectives described in Chapter 2; it examines the methodological approach taken in the light of the research findings; and it proposes areas for further related research.

Restatement of Research Questions and Findings

This exploratory case study has sought to answer three broad and twelve related specific, research questions, about the planning of the implementation of N.S.W. curriculum and credentialling reform policy undertaken by the Board of Studies, N.S.W. This level of planning is an initial step in converting the intentions of the policy into more detailed rules and procedures to provide direction for schools and school systems to, in turn, implement the policy and related actions and to achieve related outcomes. The study has occurred over the period June, 1990, to December, 1992.

It is stressed here that the mode of presenting the findings, relating these directly to research questions, makes a degree of redundancy unavoidable. The research questions are derived from the application of a range of theories which overlap in their scope. This overlap reflects the fact that there is little specific theoretical work on the planning

of the implementation of public policy. There has been little alternative to the researcher but to construct the conceptual framework as a collection of partly overlapping theories. Hence, there has been an unavoidable degree of conceptual overlapping of the research questions reflected in the presentation of results.

The broad and specific research questions as operationalized in Chapter 3 and in Appendix B2, together with the main findings, are as follows.

What Are the Characteristics of the Public Policy Implementation Plans Developed by Board of Studies, N.S.W. ?

What types of implementation plans are evident ? Two types of implementation plans are evident. These are first, the Corporate and Strategic Plans, which as, corporate level plans, focus on the organization as a single entity; and second, Performance Agreements and Management Plans. These not only relate to the responsibilities of individual management personnel but also constitute plans for the organizational units managed by these personnel.

What are the relationships among the implementation plans ? First, the plans constitute a hierarchy. On one hand, the plans collectively form two complex, interrelated, nominal hierarchies in which plans are linearly related. These hierarchies have been established by the hierarchical structure of the organization. In one, the corporate level plans are at the highest level and are vertically linked with all Performance Agreements and Management Plans occupying lower level and dependent positions. However, not all plans are perceived by managers to be linked directly with

the Corporate and Strategic Plans. Among the performance agreements and management plans, the President's Performance Agreement is the highest level plan with all the others dependent on this plan as a model and criterion to be judged against. This hierarchy is the one which appears to be more important for policy implementation planning as all plans of managers are linked with the President's which is linked with the expectations of the Minister with whom the President has the Performance Agreement. On the other hand, there is some degree of non-linearity evident. While the corporate level plans and the President's Performance Agreement tend to focus on initiatives, a number of lower level plans focus on standing routines and procedures alone. The result is that, although these plans can be judged as compatible as both sets of targets can be attained simultaneously, they are hierarchically related only in nominal terms because they are the plans of the managers in an organizational hierarchy. Non-linearity is also evident as a consequence of the time-lag between the development and redevelopment of corporate plans and the development and redevelopment of Performance Agreements and Management Plans.

Second, with the exception of the Corporate Plan, the structure of the plans is similar. This consists of a columnar format divided into undertakings or commitments; outcomes or targets; strategies or actions; progress or times for achievement of targets. Each plan at a hierarchically lower level tends to focus on a more specific area of detail of implementation.

However, the plans tend to contain minimum detail. This is the case of what to achieve as targets as well as the processes to achieve them. The undertakings or commitments,

and the strategies or actions are phrased in general terms so that the managers responsible and their staff must interpret and choose from a range of details when achieving targets.

What are the relationships of the implementation plans and the public policy ?

The documented implementation plans are supportive of the credentialling and curriculum reform policy given in the *N.S.W. Education Reform Act* (1990). This has been corroborated by interviews with management staff of the Board and by modified participant observation of planning over the period of research. The supportive relationship involves two external controls. One is the requirement to refer Corporate and Strategic Plans to the Minister for approval before implementation. The other involves the negotiation of the President's Performance Agreement with the Minister which serves as criteria against which other personal plans are validated. Collectively, these plans support the implementation of government curriculum and credentialling policy.

What is the orientation of the implementation plans ? The plans are outcomes oriented. The main areas of focus in each plan are targets or objectives. These are also the bases for all actions or strategies indicated and for the review of plans within the yearly planning cycle.

How Has the Public Policy Implementation Planning Process Been Undertaken by the Board of Studies, N.S.W. ?

What planning processes have occurred ? There are six major findings about the

planning processes. First, as classified by the researcher, three different, though interrelated, implementation planning processes are evident. These are the Designing and Planning of the Management Structure of the Board; a Macro Planning Process; and a Micro Planning Process. The first has provided the management structure which simultaneously has structured the relationship among the plans of the managers. This structure has largely been a decision of the President. The second is the process of plan development in a relatively rational annual cycle following guidelines provided by the N.S.W. Office of Public Management but with further elaboration by the Board and senior management. The third is the development of individual plans frequently involving both rational and interactive approaches. These latter plans are the organization corporate level plans, and the Management Plans and Performance Agreements of personnel.

Second, the processes have been largely designed and operationalized by the President of the Board and staff but influenced by the N.S.W. Office of Public Management. An existing model, adapted from one used by the N.S.W. Department of School Education, has been adapted for use in developing the Corporate and Strategic Plans but the lower level plans in the planning hierarchy have been based more on established procedures, personal perceptions and experiences.

Third, the implementation planning process itself is predominantly outcomes oriented. This is particularly evident in modified participant observation instances and through the interviews. Achieving appropriate planning outcomes, such as a planning document, appear to be perceived as much more significant than the decision making process even

with the particular focus on consultation and negotiation. This does, however, mask a significant concern with the process insofar as that consultation and negotiation are seen as essential in achieving better quality and appropriate outcomes.

Fourth, the processes have been adaptive and evolutionary. Throughout the research there has been reference to the emphasis on consultation with clients and negotiation among the members of the Board and between managers and their supervisors. Consequently, these are negotiated implementation plans in which the main concerns of the stakeholders have apparently been taken into account but within the broad intentions of government.

There are a number of examples of these characteristics. One is the negotiation over planning between each manager and the supervisory manager, and, in some cases, with the staff. The process results in varying degrees of modification of plans in arriving at a consensus. A second example is the consultation with client groups over Board proposals, such as, those in the *Implementation of Curriculum Initiatives* (March, 1991). The feedback has resulted in decisions of the Board which have been incorporated into the Strategic Plan for 1991-1992, in Performance Agreements and Management Plans for the same period, and in the operational policy document, *Curriculum Requirements for N.S.W. Schools* (July, 1991).

Fifth, in contrast with the output of the process, the process itself has not been documented. This has a number of implications. The process may be perceived as so unimportant that no documentation has been considered necessary to inform subsequent

management decision making. Alternatively, there may have been little time to provide for written records of the process. However, all managers interviewed reported the significance of the process of implementation planning. Of course, it could also mean that the lack of documentation is deliberate. This would ensure the greatest freedom to managers when evaluating implementation plans as they would be at liberty to rely on memory.

Sixth, the implementation process has both a high degree of formality and informality. It appears that, although there has been some use of formal planning procedures, such as meetings, surveys, and brainstorming, much of the decision making has been very informal. Under the assumptions of a rational model, informality can be a limitation to effective planning because it encourages random, spontaneous, and unprepared and unresearched responses which may not be the most efficient and most effective solutions to determining the way policy intentions could be implemented. Under an assumption of an interactive model, informality can be perceived as a legitimate approach at arriving at a consensus.

What are the relationships among the components of the implementation planning process ?

To what degree is the implementation planning process linear ?

The policy implementation planning processes have both linear and non-linear dimensions. These dimensions are interwoven and occur simultaneously. On one hand, there are two forms of linearity evident: the emerging temporal sequence of the processes of plan development in which higher level plans are the antecedents in time of

lower level plans; and the high degree of compatibility of content across the plans developed even when the plans have not been developed according to an assumed temporal sequence. On the other hand, there is evidence of non-linear relationships whereby lower level plans have been developed without reference to the higher level plans and which focus on content, such as, procedures associated with H.S.C. examinations, not specifically referred to in higher level plans.

To what degree do the rational and interactive models of planning explain the implementation planning process ? There is evidence that both the rational and the interactive approaches to policy implementation planning are evident in the implementation planning undertaken by the Board of Studies. Evidence for a rational approach is apparent in the linearly related linkages between intentions of the curriculum and credentialing reform policy and the planning activities undertaken to achieve them. An *interactive* approach the process of implementation exists in negotiation and reformulating of implementation activities under the influence of factors, either internal or external to the organization, and the evolution of the reform policy.

Significantly, as discussed in Chapters 4, 5 and 6, the *rational* approach, encompassing the functional perspective on organizational structure and design, appears to explain the implementation planning process at the *macro* level of organizational decision making but the *interactive* approach appears to explain the processes at the *micro* level. Thus, the dual models complicate perceptions of public policy implementation planning. It is evident that these models, rather than being mutually exclusive, need to be recognized as complementary approaches which can describe and explain different aspects of

implementation planning processes.

To what degree is the planning of the implementation of the public policy relatively open or relatively closed ? The formal processes appear to be evolving as a relatively closed routine. This seems to be a consequence of the requirement of the N.S.W. Office of Public Management to undertake planning and to review plans within an annual cycle with a focus on targets. Therefore, there is a tendency for the planning process to be a relatively closed routine within each planning period though there is a more open, adaptive approach between planning periods. Such an approach appears to be replacing flexibility and adaptability which had been evident in the initial periods of formulating plans and implementation the reform policy. However, in contrast with the documented plans, it is also evident that there is a relatively open approach which occurs simultaneously in the practices of planning and implementing plans which tend to entail a high degree of negotiation and consensus among staff for sub-corporate level plans and among senior managers and Board members in corporate level plans.

What Factors Influence the Public Policy Implementation Planning Process Undertaken by the Board of Studies, N.S.W. ?

What external environmental factors influence the public policy implementation planning process undertaken by the Board of Studies, N.S.W. ? External influences are predominantly the expectations of the government for the Board, particularly, the expectations for the implementation of curriculum and credentialling change as detailed in the *N.S.W. Education Reform Act* (1990) and in *Excellence and Equity* (November, 1989); the requirements of the Office of Public Management of the N.S.W. Premier's

Department for corporate level planning and an annual planning cycle; resourcing of the Board because it sets financial limits on planning and expectations for the efficient; and effective management of each public organization.

The former of these has been in a state of change so that new and modified expectations have been emerging over the period of the study. Consequently, the Board has responded in its plans. This is particularly evident in the change in the Corporate Plan between 1991 and 1992, and the development of new strategies in each of the annual Strategic Plans developed over the period of research in 1990-1991, 1991-1992 and 1992-1993. For example, as shown in Appendices G2 and G3, the corporate objectives have changed from 16 to 12 between 1991 and 1993. This change reflects the response by both Board members and Board managers to evaluation of the original Corporate Plan, clarifications of the scope and structure of corporate level plans by the N.S.W. Office of Public Management, and the changing emphasis of the Minister and Cabinet.

What internal organizational factors influence the public policy implementation planning process undertaken by the Board of Studies, N.S.W. ? The dominant internal influences on the design of the planning system and on corporate level plans have been the perceptions of the government expectations held by the President and senior management, and the choices made by the President and senior management for the processes and their operationalization. Because of environmental dynamics, there have been changes in perceptions over the study period and the incorporation of new expectations for areas such as entrepreneurial activities, and greater self sufficiency under a state policy of reducing real funding.

Another internal influence is the relatively degree to which management staff have been able to be adaptable in making decisions about plans. Although this has varied across all levels of planning, there is a tendency for each manager to combine personal perspectives in planning with the more formal expectations of supervisory managers. But this has been changing with each new planning cycle so that there is now emerging a much higher degree of compatibility and compliance which is replacing, what has appeared to be, independent approaches taken in the first year.

The Findings in the Context of Theory

This section of this chapter attempts to relate the findings discussed in the previous four chapters to relevant theory on public policy implementation planning described in Chapter 2. This is an important process in the present research as the findings of case study design, as Campbell (1988f), Gummesson (1991), and Yin (1984) have indicated, must be related to theory rather than generalization to populations of public organizations as would be expected in other designs. The test is to determine the degree to which the findings confirm or challenge existing theory and support observations made in previous studies and indicates further plausible developments of related theory.

The procedure employed here is to take each of the main areas identified as relevant to public policy implementation planning in Chapter 2 and qualitatively match it against the present findings identified and discussed in Chapters 4, 5, and 6. This form of pattern matching indicates the degree to which the present findings are consistent with previous findings and with qualitative comments on policy implementation planning made in other works.

Concepts of Policy and Policy Implementation. The position described in Chapter 2 on the separation of policy formulation and policy implementation, assuming that a policy can evolve through implementation, has been an operational assumption underlying the conceptual model used in the present study. The validity of such an assumption depends on definitions of policy and implementation in an operational context.

It is evident that the separation holds with respect to the particular school level curriculum and credentialling reform policy formulated and adapted over the period of 1988 to 1992 in N.S.W. for which the Board of Studies has certain implementation responsibilities.

It is also evident, however, that, in practice, there has been a degree of reformulation and evolution of the policy during the period in which implementation planning has been occurring. This is because of the changes in government priorities and because of the interpretations of the Board of Studies of the policies and the actions taken. Consequently, there has been a shift in details of policy implementation, such as, changes in the timeline originally set by Minister when syllabuses for certain Key Learning Areas would be required, and the temporary cessation of development of particular syllabuses.

Public Policy as a Set of Expectations. The present study has developed a definition of public policy as a set of expectations. This encompasses seven of the ten definitions described by Hogwood and Gunn (1984). Consequently, the focus on public

policy as a set of expectations adds a dimension to the existing repertoire of definitions. This indicates that there is a force in public policy to which implementation organizations can respond. The dynamics of public policy contexts as exemplified by the present study reveal that the forces which can influence the actions of implementation planning can be in a constant state of change through adaptation to government decisions in response to perceptions of the policy in particular, political, social and economic contexts.

Sources of Public Policy. The relative importance of the sources of public policy described in Chapter 2 can now be reviewed in the light of findings given in Chapters 4, 5 and 6. To reiterate, hypothetical sources of public policy are the functions and dysfunctions of government. In the present case study, the sources have been predominantly the functions of government, namely, the N.S.W. state parliament, and the state executive, especially the Minister responsible for school level education. The executive government sources have also included the interactions between political and bureaucratic elements. This has resulted in the further adaptation and evolution of the curriculum and credentialling reform policy as a consequence of decisions and activities by, and among, the Minister, Cabinet, and the Board of Studies, N.S.W., the latter being the government organization responsible for developing syllabuses, rules and procedures to guide schools and school systems which serve students in final level implementation.

The state judiciary, potentially a source of public policy, has not become a source of public policy because courts have not as yet been involved in making decisions about the particular reform policy which would constitute case law. If this were to occur, the

state judiciary would need to be addressed in implementation planning in the further adaptation and evolution of the policy.

Although dysfunctional sources have not been detected during the present study, there appears to be potential for these to form with further modifications to the policy in response to changing external and internal organizational influences. For example, there appears to be an emergence of implementation practices and associated organizational beliefs and values which could lead to dysfunctional modifications to the policy and, in turn, would be the sources for a new policy emerging through implementation.

Of particular significance here has been the argument developed in Chapter 2 about planners' perceptions of the policy, and their perceptions of official, unofficial and hidden expectations. These perceptions can influence planning and can also lead to the formation of policy different from, and potentially in conflict with, the official policy. To explore this more fully, there is a need for a longitudinal study which would specifically examine the changing character of the policy evolving and adapting through planning over time. Such a longitudinal study could also examine the role of planners' perceptions in these changes and the degree to which such perceptions themselves are changing in response to the policy or to environmental factors.

A more elusive area to explore is the degree to which the perceptions of planners, as potential, dysfunctional sources of an emerging new policy, is simply a reflection of planning processes which occur, or are expected to occur, in public bureaucracies. Within the parliamentary, democratic system of government operating in N.S.W., public

officials are expected to carry out the intentions of parliament and cabinet in their actions and to reflect these in their public comments. It is assumed that some degree of divergence from policy intentions is unavoidable due to differing personalities but relatively strong controls of planning evident in the case study reported here imply that significant divergence is unlikely without the concurrence of the Minister responsible. This could also be the focus of a further study of implementation planning.

Types of Plans. The classification of organizational planning described by Jantsch (1973) in Chapter 2, has been used to classify the types of plans developed by the Board of Studies and discussed in Chapters 4. These are normative, strategic and operational plans. The significance of the observations lies in their functional basis. This mirrors the organizational structure of the Board as designed by the President, and also reflects the expectations for organizational design by the N.S.W. Office of Public Management.

The functional basis of the planning of the implementation of curriculum and credentialling changes has implications for both planning theory and theory on policy. First, the three discrete types of plans are encompassed within a hierarchical planning structure. This is a traditional rational approach evident across both public and private organizations. The plans and the internal components of the plans are assumed to be related in a linear, temporal, cause and effect chain reflecting rational decisions of senior management first, and subsequently, by each lower level in the management hierarchy thus forming a hierarchy of decisions relating to goals. Second, the achievement of the goals or targets of the normative plan depends on the achievement of the goals of the

Strategic Plan which, in turn, depends on the achievement of the goals of operational plans. In the case study, the Corporate Plan is the only normative plan and theoretically the most important in the process of planning the implementation of the public policy because it establishes the key objectives of the organization with which all other planning targets are to comply.

However, these two theoretical characteristics are not supported by the data. The lower level plans have been frequently developed by the managers responsible before the Corporate and the Strategic Plans have been fully developed, and other, already existing, operational plans, relating to previous boards, continued to be current in the early period of the Board's existence. Thus, the theoretical cause and effect chain, while ostensibly evident in the nomenclature of plans, has not been reflected in the planning processes undertaken by the Board. The Corporate Plan and the Strategic Plan have not been finalized until 12 months after the establishment of the Board yet operational plans have been implemented, some on the basis of drafts of Corporate and Strategic Plans, some on the basis of assumptions that mechanistic processes of implementing policies exist through routines. A further finding is that not all management staff who plan reported that written plans are necessary and tend to see plans as unnecessary requirements for routine actions for which they are responsible and which would occur anyway.

Together, these observations indicate three significant conclusions. One is that the concept of a hierarchy of implementation plans, though suggesting a particular relationship among the plans, may be a perception which is valid retrospectively after planning has been undertaken but it is not an accurate description of the policy

implementation planning process. A second is that the functional base, though commonplace in public organizations, may not be the most appropriate basis for planning. A third is that the assumption of a high degree of linearity of relationship among processes in planning and among plans does not appear to exist. Alternatives to these assumptions are described later in this chapter.

Models of Implementation Planning Revisited. Both the rational and the interactive approaches to policy implementation planning discussed in Chapter 2 are evident in the implementation planning undertaken by the Board of Studies and explained in Chapter 5. To reiterate, a rational approach to implementation planning focuses on direct, linearly related linkages between goals and the activities undertaken to achieve them; and the interactive approach sees the process of implementation as negotiation and reformulating the implementation activities under the influence of factors, either internal or external to the organization, to the extent that the policy itself can be altered by consensus.

The evidence of the appropriateness of the dual models comes from two ostensibly conflicting elements. On one hand, the bureaucratic organization charged with the responsibility of implementing a particular public policy officially and formally would tend to follow a linear process whereby the intentions of the policy are followed by a step-by-step sequence of rational actions. On the other hand, those involved in implementation planning do not necessarily have a perfect commitment to the linearly related process and tend to lack comprehensive knowledge of all of the elements involved, and, simultaneously, are influenced by other factors in their planning decision

making. These latter influences appear to come from personality, corporate culture, and perceptions of factors and the related judgements involved which have been discussed earlier.

A consequence is that while the rational approach, encompassing the functional perspective on organizational structure and design, appears to explain the implementation planning process at the macro level of organizational decision making, the interactive approach appears to explain the processes at the micro level. Thus, the dual models complicate implementation planning. It is evident that these need to be recognized as complementary approaches which can explain different aspects of implementation planning processes simultaneously.

Closed or Open Models. The focus in Chapter 2 on two contrasting systems models of organizations has served as a set of criteria against which to judge the degree to which the policy implementation planning process undertaken by the Board of Studies is relatively open or relatively closed, or has elements of both. Data indicate that both are evident but each relates to particular aspects of organizational decision making and its supportive infrastructure.

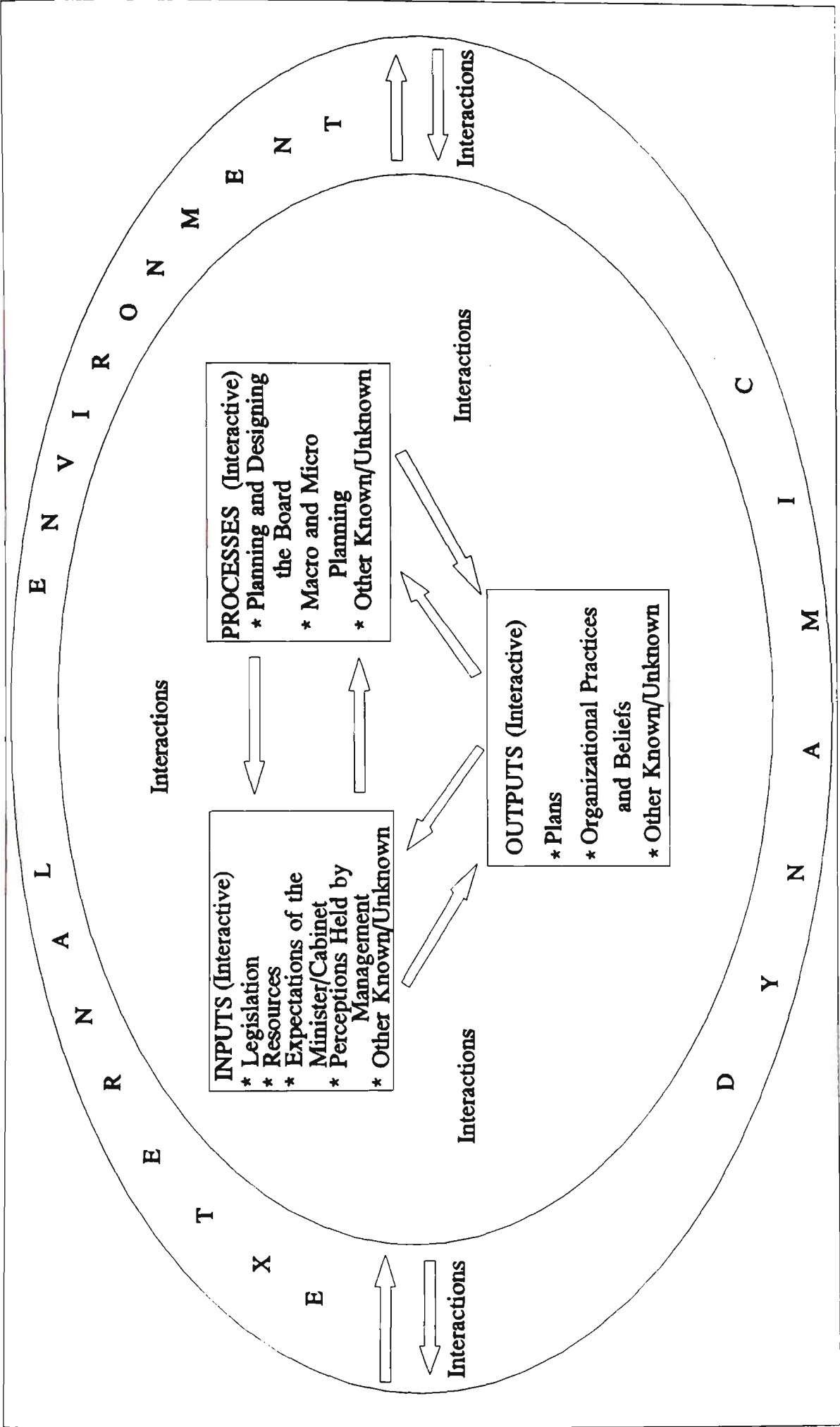
As indicated earlier, a relatively closed system appears to be evident in the expectations of behaviour held by the cabinet for the Board's actions in implementing policy, including planning actions and how the Board should officially respond. These expectations are described in specific legislation relating to the Board and its functions, the general expectations set out in N.S.W. Office of Public Management documents for

an annual planning cycle of N.S.W. state government organizations and perceptions developed by the senior staff of the Board from interactions with senior state politicians. Of these three sets of sources, the last could undergo change as priorities of government are modified in response to social, political, or economic forces. The control exercised by the Minister through legislative provisions for the Minister to approve of all curriculum developments and through the Performance Agreements with the President of the Board and through the practice of seeking the Minister's approval for corporate level plans, however, ensures that a high level of conformity between the actions of the Board and expectations held by government is maintained.

In contrast, a relatively open approach is apparent in the implementation planning undertaken by the management staff of the Board, including junior managers. This seems to reflect individual interpretation of expectations for the Board and the relevance of prior experiences in planning. A consequence is that the planning within the Board varies from that which explicitly acknowledges and closely follows official expectations held by government and senior management to that which follows the specific interpretation of the incumbent manager.

Consequently, Figure 7.1 presents a model which explains the Board of Studies approach to the planning of the implementation of the curriculum and credentialling reform policy. Note that it focuses on planning as a relatively open system but within the total system there are relatively closed sub-systems as described above. This Figure is an application of Figure 2.4 reflecting the research findings of the present study.

Figure 7.1 Model of the Board of Studies planning system



Orientation of Implementation Plans. Rather than reaffirming the assumed dominance of process orientation of a relatively bureaucratic approach as indicated in previous studies of public organizations (Dunphry, 1981; Felstein and Luft, 1973; Grandori, 1987; Meltzner and Bellavita, 1983), the present study has found that the case study organization has a dominant outcomes or outputs orientation. The structures of both corporate level and personal plans are primarily concerned with objectives and targets. Personal plans of managers, whether Performance Agreements or Management Plans, particularly relate target achievement to specific points in time.

Inputs and processes attract relatively little or no attention across all written implementation plans. How implementation occurs and what resources are required tend to be neglected areas.

This neglect appears to be linked with a single factor. The implementation plans are future oriented, that is, they are outcomes directed in terms of the official expectations. As indicated earlier in Chapters 4, 5 and 6, the expectations include what the Board is required to do in the areas of curriculum and credentialling. Inputs and processes appear to be assumed to be adequate to achieve targets having been recognized when the targets have been formulated.

It is therefore plausible to conclude that the previously assumed dominance of process orientation in the study public organizations may be more a reflection of particular circumstances rather than the inherent tendency for public organizations to be process oriented. The case study organization's focus on outcomes appears to be consistent with

the state government's concern with achieving targets which is a criterion for evaluating the performance of state public organization. A test of this orientation in a dynamic environment would be to identify the orientation of planning when a change of government occurs to determine if the orientation is maintained with a change of government expectations. A longitudinal study could establish the long term stability of this orientation.

Influences on Policy Implementation Planning. The simplified division of contextual influences on policy implementation planning into external and internal described in Chapter 2, and in Chapter 6, especially Table 6.1, has been used in the present study to focus on particular factors which affect policy implementation planning undertaken by the case study organization. Although both are evident and appear to contribute to the processes and outcomes of planning, certain influences can be identified as being more significant to theory.

At face value, it appears that the external influences have been more significant. This seems to be a consequence of the management of the Board taking action to keep the Board's implementation planning compatible with the expectations of government. One mechanism by which this appears to operate seems to be the close linkage of the President's Performance Agreement with the Minister's expectations. The agreement contains targets agreed to by the Minister which are reviewed formally by the President and the Minister each three months and less formally on a more regular basis. There is a very high degree of compatibility of the targets of the President's Performance Agreement and the objectives of the Corporate Plan and the targets of the Strategic Plan;

with the targets of Performance Agreements of the staff employed by the Board in the state Senior Executive Service; and with Management Plans of other staff in management positions. The close relationship of the goals of each of the plans in the planning hierarchy thus indicates that there is a high degree of compliance of the content of documented plans with the expectations of government.

The internal organizational reasons for the compliance are not evident in documents but have been recognized in interviews and in modified participant observation. From a rational perspective, it appears that planning staff have developed plans which faithfully address the intentions of government in the planning process. From an interactive perspective, the compliance appears to be a consequence of the interaction among the players and this seems to be a result of consensus rather coercion or conflict. However, it is plausible that both circumstances have existed and have influenced compliance or consensus simultaneously. This conclusion is not inconsistent with comments reported in interview with a number of management staff regarding their own perception of the irrelevance of the corporate level plans for their areas of responsibility.

Contrary to the apparent dominance of external environmental factors, the research findings show that it is the internal organizational factors which predominate. They include the perceptions held by managers of the expectations for the Board, management experiences in planning, the knowledge held by managers of planning and an emerging organizational culture which supports the value of, and promotes beliefs in, planning. These factors have not been reported by informants in interview but have been observed by the researcher over the period of the study.

Rational and Interaction Paradigms. From the earlier analysis of policy implementation, planning, and the internal organizational processes involved in planning in Chapter 2, it appears that there are two different paradigms which have been applied in conceptual and empirical studies. The rational paradigm presents policy-making and policy implementation as a set of decisions and actions which link goals to outcomes over time as a series of linearly related steps or stages. It appears that planning is a rational consequence of the existence of policy and integral to the process of policy implementation.

The interactive paradigm sees the decisions and actions of policy implementation, including planning, as being a constantly adjusting, dynamic consequence of interactions among the actors involved and between the actors and their environment. Actions may reflect values and attitudes of planners and the dynamics of the interactions within the cultural context of the implementation organization and external influences upon it. Such factors, as the perceptions by the planners of the public policy, power structure within the organization, and corporate beliefs, could influence planning and the implementation of plans. External factors, such as, funding and real or perceived barriers, could influence actions.

It is possible to relate these two paradigms to systems theory. The rational approach could be argued as being related to both the closed and open systems models earlier in this chapter as both models also imply a set of linearly related decisions and actions. However, the open systems model lends itself to the interaction approach as it provides for dynamic relationships and constant readjustment to a state of equilibrium.

It is evident then that the two paradigms, each of which encompasses a different approach to the planning of the implementation of public policy, are based on different assumptions. An essential test is to determine which of these explains the planning of the implementation of the public policy being considered in the present study.

Reflection on the Approach of the Study

This section of this chapter reflects on the approach of the exploratory study. This is achieved by focusing first, on the systems approach described in Chapter 2 and taken in the case study; and second, on both the methodology and epistemology described in Chapter 3 and applied in each of the Chapters 4, 5 and 6. These two focus areas are considered in terms of the results and how these results have been obtained. Such discussion should provide further guidance for follow-up research.

Note, however, that the reflection on the approach needs to be undertaken within the framework established within the study which further provides a range of ways of knowing. The framework has established a number of different levels of multiple perspectives which collectively form a coherent perspective: an epistemological level bringing together logical-positivism and non logical-positivism; a paradigm level establishing rational and interactive/natural models of decision making and relationships; data collection techniques encompassing documents, participant observation and interviews; and data analysis entailing within and across epistemological traditions, within and across techniques, and rational and interactive models. The coherence of this multiple approach is particularly exemplified through the systems model used to describe the planning process which accommodates the differing levels of perspectives.

Implications of the Systems Approach. The foregoing statement and discussion of results can be readily related to the open systems model developed above in Chapter 2 and used to structure the findings of the study. The overall concept of how implementation planning in a relatively large public organization could occur has been outlined through a hypothetical systems model.

In the case of the Board of Studies, the expectations indicated in various government policy documents, including the enacting legislation, have been the main inputs. Planning, including its hierarchical structure with its linear and non-linear and evolutionary dimensions has been the intraorganizational process which translates broad intentions into an implementation plan.

The outputs include the planning documents and, in this case, alterations to policy. There are unintended or unplanned outputs which have not necessarily been recognized.

This relatively open systems approach is significant insofar as it provides a realistic model, not only as far as the observed processes are concerned, in other words the observed facts, but also the ways in which the participants perceive and report the processes. The products of the system, especially the documented plans, are based to a degree on the interpretation of reality by participants.

Reflections on the Methodology. The three techniques used in the present study, differ in the quality and quantity of relevant data provided and hence in their contribution to answering the research questions. A summary of an evaluation of the

techniques by the researcher is given in Appendices F1 and F2. There are the documents, each of which is a relatively static insight into the Board, its functions and plans; modified participant observation instances which cover a large number of points in time, but are relatively selective in that only a certain number of the concurrent processes can be observed at any one point; and interviews with the management staff of the Board of Studies which bring together the perceptions of the Board and the planning undertaken by key staff members.

Each technique has provided a unique contribution as well as some information in common with other techniques. Unique contributions of the documents include the statement of the broad expectations for the Board in the context of education in N.S.W. and the outputs of the planning process as plans with the documented focus on targets and the evidence of two main types of plans, one type dealing with the impersonal organization, the other with the responsibilities of individual managers. However, a significant aspect of the documents is that they also reflect a marginal change over time in the policies which may be a result of negotiation and changes in perception.

The documents also provide details of the sequence of development expectations and their products. They reveal interpretation of expectations and trends in perceptions particularly with respect to the government's expectations for the Board in legislation and in government documents which outline the broad policy parameters for the development of the Board. The documents produced by the Board itself set down the particular plans and outcomes at the points in time in which they have been finalized. The evaluation process involving these plans and outcomes, for example, the Strategic

Plan, in November, 1991, has led to some renegotiation or modification of the plans.

The modified participant observation technique has also tended to reflect these changes in the ways in which planning has been occurring over the period of the research but has revealed the less formal decisions made in planning. These observations have been critical complements to the data collected from the documents.

The interviews have been done at certain points in time at which the perception of the informant has been reported. These provided details of the processes of planning undertaken as perceived by informants and solicited and unsolicited information on the factors influencing the particular character of this process.

Interviews themselves are also relatively static in that they tended to occur at one point in time, rather than in a series over time. This limitation has been addressed in one respect by follow up interviews with most informants and through the provision of written details of interview notes to all informants with requests for clarification of particular points. As indicated, over half of the informants gave considerable additional information through this opportunity.

Furthermore, interviews tended to reflect a perception that each individual had of the Board's plans, planning processes and factors influencing these at the time. However, the length of the interview, in most cases over one hour, gave the opportunity to explore plans and the planning processes, expectations of the Board, and the overall context in which the Board operates in substantial detail. Follow-up interviews and additional

documentary materials provided as a result of interviews have clarified many issues and identified evidence not otherwise available.

All three techniques have together made a significant contribution which any one individually would not have made. However, it must be noted that the non-interactive character of documents and participant observations, particularly the documents, meant that the contribution of these has largely been based on the interpretation by the researcher, whereas the interviews, as an interactive data collection technique, allowed probing and seeking of additional information as well as informants volunteering opinions and insights.

Epistemological Traditions: Implications of the Approach. In this study there has been an assumption of the usefulness of multiple perspectives and multiple techniques in answering the research questions. This has included the acceptance that logical-positivist and non logical-positivist epistemological traditions can be perceived as complementary approaches to knowing. There has also been a decision by the researcher to use three particular techniques which have all been possible to implement: document analysis, interviews and modified participant observation. As discussed in Chapter 3, this particular multiperspectivist approach appears to have been essential in gaining the data and in interpreting it. Furthermore, the approach appears to have been essential in using qualitative methodology. All data collection instruments have been potentially powerful attractors of relevant data. Parallel to the use of multiple methods of data collection has been the recognition that the logical-positivist tradition has largely established the theoretical and empirical basis for developing the research questions and

relating findings to these. The non logical-positivist tradition has been the basis for the open endedness of the research which allows wide ranging exploration of public policy implementation planning and analysis of data obtained on phenomena.

A dilemma is that it is not possible to make inferences about findings and to offer implications for other public organizations with respect to public policy implementation planning because of the case study design. Case study findings cannot be generalized and do not have universality of application but, nevertheless, can confirm existing theories or aid further development of theory. This approach does not reject natural laws or general principles, but simply recognizes that case study design and the broad non logical-positivist framework of enquiry seeks to recognize particular phenomena which are perceived as occurring in a particular social context.

The foregoing discussion on epistemological options could be useful in further research, particularly to the evolving theory on public policy implementation planning and policy implementation .

Towards a Theory on Public Policy Implementation Planning

There are a number of implications of the findings of the present study for an emerging theory on public policy implementation planning. These implications need to be viewed with caution because the present study has sought to combine logical-positivist and non logical-positivist epistemological traditions in a case study design which is acknowledged by Yin (1984) as having findings which cannot be generalized to other public policy implementation planning organizations.

To reiterate, public policy implementation planning is an essential set of decisions which link the government's broad intentions and related values to the actions of implementing the policy. As indicated by Wildavsky (1979), and by Davis, Wanna, Warhurst and Weller, (1988, 1993) in Chapter 2, the legislature in parliamentary democracies does not usually decide how a policy is to be implemented, but in the case study undertaken for the present study, the government through the Minister responsible, has clearly indicated limits to the discretion used by public officials, especially in areas likely to compromise the government's political philosophy or when the government's policy is dynamic. Consequently, the Minister can exercise a right of veto.

In essence, policy implementation planning is the first phase of translating the policy into action because other, consequential actions, such as, those taken by schools and their school systems, are frequently necessary before final implementation is achieved.

The process of public decision making is frequently portrayed as being rational, efficient, and effective with little personal influence from the stakeholders. This attribute of impersonality is one of the tenets of the concept of bureaucracy described by Weber (1947, 1978) which is frequently associated with public organizations. However, the concept of rationality in the real world is a relative term because, as seen from the present case study, decisions tend to be related to individual's perceptions of the circumstances and experiences in similar or even unrelated but comparable attribute situations, which constitute a frame of reference. It is possible that managers may be unaware of alternatives or other ways of perceiving the situations and related factors. Thus, managers do not have perfect knowledge of factors and so cannot make

completely rational decisions.

This is evidently the case with planning undertaken by the staff of the case study organization. Each manager has had different levels of knowledge and understanding and different experiences. Only the chief executive and senior managers has had a relatively complete perspective on organizational planning but did not personally develop all plans at all levels. In absolute terms, it could be argued that no manager has perfect knowledge of all factors.

There are also implications of the systems approach used in the present study for a theory of public policy implementation planning. This approach is only one of a number of possible approaches but it does indicate that, if planning is perceived as a relatively temporal, linear process, then the systems model depicts the relationship of the influences on this process, the internal organizational decisions, and the outputs comprehensively. The main difficulty is that the method of depicting a systems model diagrammatically implies a steady state. What the study has confirmed is that the influences and the reactions to these are in a dynamic state but that the overall framework tends to be relatively stable. Thus, the relatively open systems model depicted in Chapter 2 is valid in that it portrays the main elements; these are, however, undergoing adaptation.

As indicated above, Figure 7.1 therefore represents the features of the system of public policy implementation planning evident in the present case study. The key features are the dynamic elements: inputs, implementation planning processes, and outputs.

A complementary finding of significance for the development of a theory on public policy implementation planning is the tendency for an evolutionary planning process to be undertaken by staff but a relatively linear, static model of implementation is expected by the Minister. This may be explained by a lack of knowledge of all relevant influences by staff, a situation possible in all public organizations; and a resulting tendency for management staff to develop solutions to at least some of the planning problems on the basis of experience, emulation of others or to be innovative.

The implementation planning process would appear to be influenced by a number of factors. These include the level of guidance provided by government and the management of the organization; the perception of the policies being implemented; the experiences of the managers and their personalities; and particular values about planning in the organization. Thus, the process could be evolutionary and adaptive when there is minimal prescription by government and by senior management. There is likely to be a linear cause and effect chain when there is more prescription and control.

All of these propositions would need to be supported by further research.

Proposals for Further Research

The findings of the study indicate a number of directions for future research in three areas: public policy implementation planning generally; implementation planning in curriculum and credentialling policies; and in epistemological choice and multiperspectivism.

Public Policy Implementation Planning Generally. As indicated earlier, there has been a paucity of research on public policy implementation planning. The present study has identified a number of characteristics of the processes in one particular case. It would be of assistance in developing related theory further to conduct research in other public organizations. This would have two potential benefits: it could identify if similar processes exist and if the influences on the processes are also similar.

A significant focus could be the degree to which linear and non-linear processes occur and the reasons for these. Consequently, there are a number of related research questions on implementation planning processes. Are implementation planning processes artefacts of organizational design ? Are they linked with the personalities of key managers ? Are they expected consequences of vague public policies which incite varying and sometimes inconsistent interpretations of the intentions of policy ? Are they linked to organizational culture and hierarchical levels of power ? To what degree is the linearity of the public policy implementation process related to the nature of the expectations of, and the controls exercised by government and by, the managers with direct employment contracts with the government ? To what degree, and how, is the policy adapted by the implementation planning organization ?

There is also the issue of who makes implementation planning decisions. Related questions could include: To what degree is implementation planning undertaken through consensus ?

Curriculum and Credentialling Policy Implementation Planning.

Curriculum and credentialling policy implementation planning is a particularly significant area as the effectiveness of these policies has substantial implications for school level education and for the large expenditure involved. There are a number of areas of research which would extend the findings of the present study, including the relationship of policy intentions to the plans developed by the implementation agency; the relationship of first level implementation organization to other government organizations, especially the association of the impact of change on other government agencies; the role played by school systems and by schools in the putting implementation plans into practice; and the association of bureaucratic structures and bureau-politics within and between public organizations on policy implementation planning.

A potential area for research is the influence, or the perceived influence, of practices and cultures of other public organizations which might affect the implementation of the policies. These could include the force of bureaucratic inertia from the organization which previously had responsibilities in the curriculum, namely, the N.S.W. Department of School Education. It would appear that such an area should be explored more fully. An appropriate research question could be: To what degree is the perception of a new public policy implementation organization by other established organizations with significant power likely to affect policy implementation and to what degree should the new implementation organization address this perceived force in implementation planning decision making ?

Epistemological and Methodological Choice. This study has recognized both the value of the non logical-positivist approach and the necessity of using multiple methods in research. It is proposed that further research should explore these same approaches more fully.

These approaches could be studied more specifically in terms of case study design and the philosophical basis of the epistemological tradition. It seems particularly relevant to focus on the relative strengths and weaknesses of the modified form of participant observation, document analysis (which is also, to a degree, archival analysis due to changing contexts and relevance of documents) and interviews which individually and collectively, have made a particularly relevant contribution to the results of the present study.

Furthermore, the use of a longitudinal design as advocated by Kirst and Jung (1991) for the study of policy implementation, could assist in the study of longer term planning and the relationship of planning to policy evolution and adaptation over the long term. The findings of such long term research could also indicate the degree to which planning as a function is necessary in guiding implementation of public policy even accepting the dynamic state in which a particular could exist.

Consequently, there are a range of significant areas for further research which can build upon the approach taken in the present exploratory study.

APPENDICES

APPENDIX A1: FUNCTIONS OF THE BOARD OF STUDIES, NEW SOUTH WALES

(Source: *N.S.W. Education Reform Act*, 1990, Part 9, Para 102, pp. 48-50)

Functions of the Board

102. (1) The Board is to exercise its functions in connection with the education of children at both the primary and secondary level.

(2) In particular, the Board has the following functions:

- (a) to develop or endorse syllabuses and exercise its other functions under Part 3 (The School Curriculum);
- (b) to provide advice and make recommendations to the Minister about the registration of non-government schools under Part 7;
- (c) to accredit registered non-government schools under Part 8;
- (d) to grant the recognised certificates;
- (e) to prepare and distribute to schools information relating to the courses of study for candidates for the recognised certificates, and information relating to eligibility to be granted those certificates;
- (f) to prepare and make available to schools curriculum support materials;
- (g) to develop or endorse courses of study that are appropriate for students (including candidates for the recognised certificates) who wish to continue at or return to school after the normal school-leaving age (including on a part-time basis);
- (h) to develop or endorse, in consultation with the Director-General of Technical and Further Education, courses of study that will enable school students to be granted credits by colleges within the meaning of the *Technical and Further Education Act 1974*;
- (i) to make such arrangements as may be necessary for the conduct of examinations or other forms of assessment for candidates for the recognised certificates and to regulate the conduct of those examinations or other forms of assessment and the recording of candidates' achievements in them;
- (j) to prepare and distribute to schools information relating to the conduct of examinations and other forms of assessment for candidates for the recognised certificates;
- (k) to recognise, for any of the purposes of this Act, educational attainments obtained at educational institutions outside New South Wales;
- (l) to provide advice and guidance to schools concerning the policies and practices of the Board;
- (m) to provide advice and assistance to students, employers and the public concerning the nature and content of courses of study for the recognised certificates (and the assessment and reporting of candidates' achievements in those courses);
- (n) to monitor, by inspection of schools and otherwise, the application of its policies in schools;
- (o) to arrange for the development of appropriate curriculum resources and other material to assist in the education of school students with an Aboriginal background;
- (p) to develop curriculum resources for use in the teaching of Aboriginal studies (including Aboriginal history and culture);
- (q) to promote the provision of education in schools that adequately equips students to acquire a vocation and for their life in the community;
- (r) to advise the Minister in relation to the following matters:
 - (i) any changes to the requirements of Part 3 that the Board considers appropriate;
 - (ii) the functions of the Minister under Part 4;
 - (iii) whether changes should be made in the number or type of recognised certificates;
 - (iv) the likely impact of any change in the Board's policies (particularly in relation to courses of study) on the overall planning, allocation or use of educational resources in New South Wales;
 - (v) special arrangements for students with disabilities, including the approval of special courses of study, the modification of requirements for the grant of the recognised certificates and the grant of special records of achievement;
 - (vi) any matter in relation to which the Minister requests the Board's advice.

(3) The Board, in the exercise of its functions, is to have regard to the resources available for education in New South Wales schools.

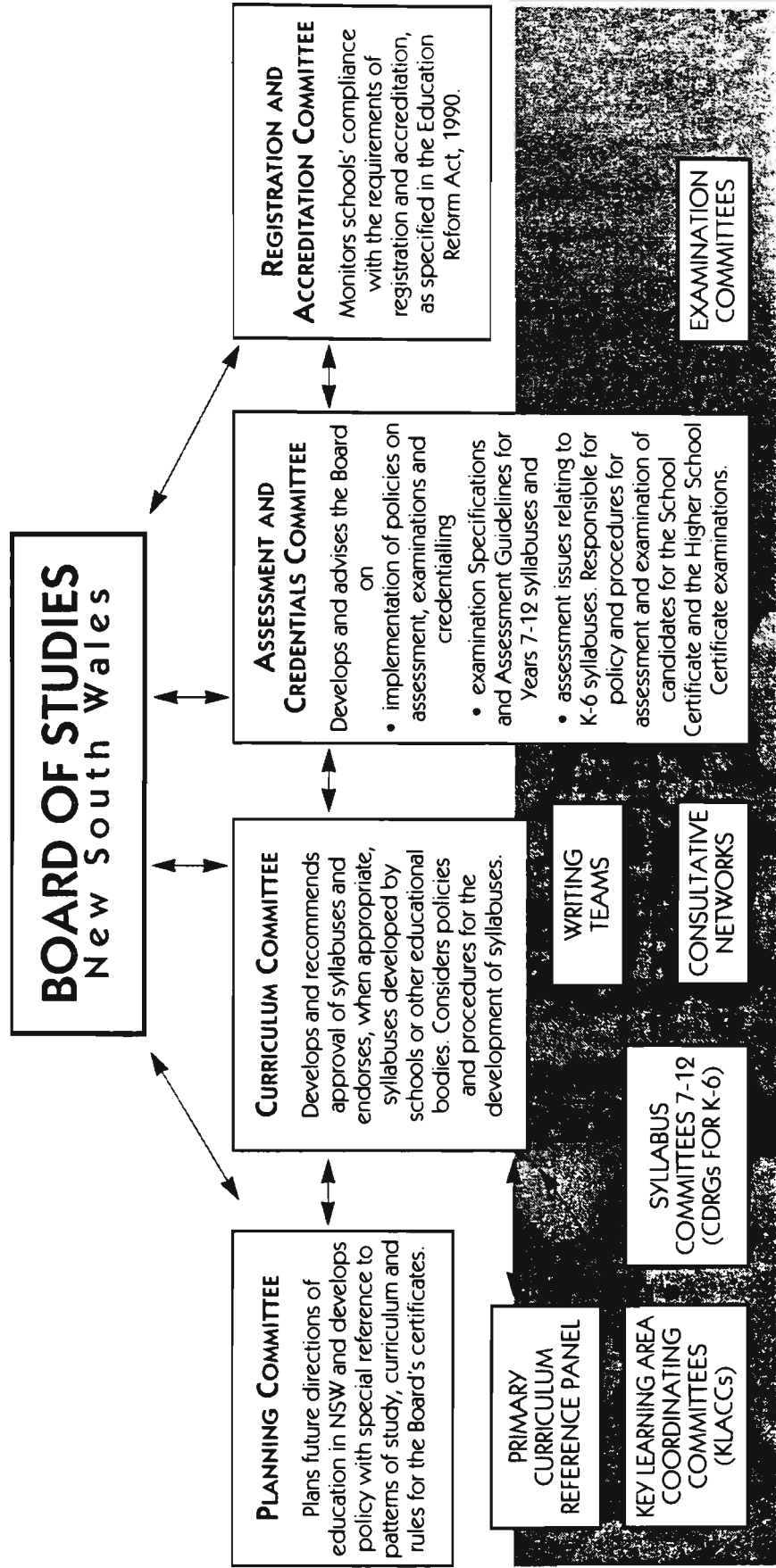
APPENDIX A2: MEMBERSHIP OF THE BOARD OF STUDIES, N.S.W.

(Source: *N.S.W. Education Reform Act*, 1990, Part 9, Para 100, p. 47f)

Constitution of the Board

100. (1) The Board is to consist of
- (a) the President of the Board; and
 - (b) 3 ex-officio members; and
 - (c) 19 appointed members.
- (2) The ex-officio members are:
- (a) the Director-General of School Education or a nominee of that Director-General; and
 - (b) the Director-General of Technical and Further Education or a nominee of that Director-General; and
 - (c) the Executive Director of the Ministry of Education and Youth Affairs or an officer of that Ministry nominated by the Executive Director.
- (3) The appointed members are to be persons appointed by the Minister, being:
- (a) one nominee of the New South Wales Vice-Chancellors' Committee;
 - (b) two nominees of the Council of the Federation of Parents and Citizens Associations of New South Wales, one nominee to represent parents of primary school children and the other nominee to represent parents of secondary school children;
 - (c) one nominee of the Catholic Education Commission of New South Wales;
 - (d) one person, being a nominee of the Association of Independent Schools, the Headmasters' Conference and the Association of Heads of Independent Girls' Schools;
 - (e) one non-government school teacher (other than a principal), being a nominee of the Independent Teachers' Association;
 - (f) one parent of a child attending a non-government school, being a nominee of the Catholic Education Commission of New South Wales and the New South Wales Parents' Council;
 - (g) 2 principals of government schools, one being a nominee of the New South Wales Council of Primary School Principals and the other being a nominee of the New South Wales Council of Secondary School Principals;
 - (h) 2 nominees of the New South Wales Teachers Federation, one being a primary government school teacher (other than a principal) and the other being a secondary government school teacher (other than a principal);
 - (i) one person with knowledge and expertise in early childhood education;
 - (j) an Aboriginal person with knowledge and expertise in the education of Aboriginal people;
 - (k) 6 other persons having, in the Minister's opinion, qualifications or experience that enables them to make a valuable contribution to primary or secondary education in New South Wales.
- (4) Schedule 1 has effect with respect to the members and procedure of the Board.

APPENDIX A3: STRUCTURE OF THE STATUTORY BOARD OF STUDIES, N.S.W. (Source: Board of Studies, N.S.W. 1992. *Annual Report*, p. 15.)



APPENDIX B1: OPERATIONALIZING THE RESEARCH QUESTIONS DEVELOPED IN CHAPTER 2 INTO ITEMS USED IN DATA COLLECTION INSTRUMENTS

The broad and specific research questions given in Table 2.2, which have been developed from related theory and prior research findings, appear to be too general to constitute items in each data collection instruments. It has been necessary to formulate more detailed items which would allow both the maintenance of the purpose of each research question and be appropriate for collecting the data from each of the three sources. *Interviews*, which have been the only *interactive* method used, in particular, have been recognized as needing a structure and wording which would allow informants to understand clearly and unambiguously the focus areas, and, simultaneously, ensure that informants have not been threatened by the topic, the question technique or by technical terms or theoretical constructs used or implied.

All data collection instruments have been designed to focus on actual, rather than hypothetical plans, processes and factors influencing planning.

It has also been considered necessary to use a common structure for data collection items across all three methods. This could facilitate a consistent approach in analysis and comparison among methods and the matching of findings with theory and prior empirical findings.

Consequently, the broad and specific research questions given in Table 2.2 have

been used to formulate the structure and the content of data collection instruments. The data collection items are given in Appendix B2 below. Columns 1 and 2 contain the broad and specific research questions respectively. As an example, apart from contextual information which is described briefly below, items used in the *Interview Guide* are included in Column 3. These are, with the exception of the references made to personal responsibilities of managers interviewed, identical to the items used in the collection of data from the *documents* and from *modified participant observation*.

The development of the data collection items has consisted of a process of rephrasing and subdividing the specific research questions into more specific questions, using technical terms and concepts used in the case study organization. Initially, 48 items have been developed which have included a large number of peripheral issues. In the subsequent analysis of these, it has been determined that, while the number has not been potentially difficult to use with respect to *documents* and *participation observation*, it contained marginal areas of interest and could result in excessively long *interviews*. Consequently, a further analysis has resulted in the reduction to a smaller number of more specific items.

The gaining of data from these items has been the first step in answering the specific research questions, which in turn, has contributed to the answering of the broad questions.

Certain data collection items refer to *concepts* used by, and are relatively familiar

to, managers in the case study organization. For example, these concepts have included the *consultative process* which has been discussed frequently in the first two years of the study and which has been cited as an essential principle in decision making, including planning. It has thus been used as an item because it potentially has influenced how decisions have been made as well and what decisions have been made, thereby providing important access to certain aspects of the planning process.

Other items have been included because they have specified the time frame in which planning occurred. For example, Item 13 refers to factors influencing the development of plans for 1991, for 1992, and for the *longer term*. The longer term has been included to identify if factors recognized have been short term or would continue to influence plans or whether or not other factors would emerge beyond those which have influenced the existing plans.

For certain of the specific research questions which have focused on alternatives, a number of complementary items have been constructed. For example, the question of *rational* and *interactive* models of planning was addressed through Items 1 (A) to (D), 2, 3, 4, 5, 6, 7, 8 (B), 9 (B), 10 (A) to (G), 11, 12, 13, and 14.

The more detailed data collection items, common across all data collection instruments, have assisted in matching the results of analyses and answering both the broad and specific research questions. Together, the items and the research questions have guided the structuring of data summary forms and data reduction

forms. These sets of forms are respectively given below in Appendices C2, D2 and E3; and Appendices C3, D3, and E4. Summaries of data collected for each question given in Appendix B2 from each data collection instrument are respectively given in Appendices C4, D4 and E5.

The *context of data collection* has been provided for in each of the forms developed to record data. This has included identifying the date and time of collection, the place and circumstances, and with respect to instruments, the details of the particular informant interviewed or instance of observation or the nature of the document. This contextual information has been seen as essential in aiding the interpretation of the data.

APPENDIX B2: OPERATIONALIZING BROAD AND SPECIFIC RESEARCH QUESTIONS GIVEN IN TABLE 2.2 INTO ITEMS USED IN DATA COLLECTION

<i>Operationalized Broad Research Questions (1)</i>	<i>Operationalized Specific Research Questions (2)</i>
What are the characteristics of the public policy implementation plans which have been developed by the Board of Studies, N.S.W. ?	<p>(1) What types of implementation plans are evident ?</p> <p>(2) What are the relationships among the implementation plans ?</p> <p>(3) What are the relationships of the implementation plans and the public policy ?</p> <p>(4) What is the orientation of the implementation plans ?</p>
How has the public policy implementation planning process been undertaken by the Board of Studies, N.S.W. ?	<p>(1) What planning processes have occurred ?</p> <p>(2)(a) To what degree is the implementation planning process <i>linear</i> ?</p> <p>(2)(b) What relationships exist among the components of the implementation planning process ?</p> <p>(3) To what degree do the <i>rational</i> and <i>interactive</i> models of planning explain the implementation planning process ?</p> <p>(4) To what degree is the planning of the implementation of the public policy relatively open or relatively closed ?</p>
What factors influence the public policy implementation planning process undertaken by the Board of Studies, N.S.W. ?	<p>(1) What external environmental factors influence the public policy implementation planning process ?</p> <p>(2) What internal organizational factors influence the implementation planning process ?</p>

APPENDIX B2: OPERATIONALIZING BROAD AND SPECIFIC RESEARCH QUESTIONS GIVEN IN TABLE 2.2 INTO ITEMS USED IN DATA COLLECTION (Continued)

Specific Items in Data Collection Instruments (3)

- [1(a)] What is the background to the establishment of the Board of Studies, N.S.W. ?
- [1(b)] What do you believe/think/feel are the expectations of state government [Cabinet/Premier/Minister] for the Board ?
- [1(c)] Has there been any change in the expectations of the government for the Board since the concept of the Board was first indicated ? Explain
- [1(d)] To what extent have these expectations been put into practice through Board activities ? [Have the expectations been met ?]
- [2] The Board of Studies, N.S.W., is often described as an "independent" curriculum and credentialling authority. What do you believe/feel/think this means ?
- [3] Is the Board in a position to develop its own policies ? [How much discretion does the Board have in developing its own policies ?]
- [4] Besides the curriculum and credentialling policies, what other policies, of which you are aware, does the Board work within, or should take into account ?
- [5] The phrase "consultative process" has been used with respect to the Board over the last year or so. What does consultative process mean ?
- [6] How adaptable are Board policies to the changing circumstances ? (e.g., changes in the character of clients, changes in technology, changes in "knowledge")
- [7] What interaction is there between the government and the Board of Studies regarding the Board's activities ? To what degree does the Board report to the government/Minister about its plans and activities ?
- [8(a)] The Board has a *Corporate Plan* and a *Strategic Plan*. Why were these developed ?
- [8(b)] How were they developed ? What decisions were made ? Was any particular model of planning used ? Explain
- [8(c)] Who was involved ?
- [8(d)] What other types of plans has the Board developed ? Describe.
- [9(a)] How does the Board propose to evaluate its *Corporate Plan* and its *Strategic Plan* ? When ? By whom ?
- [9(b)] Has or can the Board's *Corporate Plan* and *Strategic Plan* be modified ? Explain
- [10(a)] What plan has been developed or is being developed for your area of responsibility ?
- [10(b)] How was it developed ? Who was involved ? How is it structured ? What model was used ?
- [10(c)] How does your plan relate to other plans of the Board, in general ? To the *Corporate Plan* ? To the *Strategic Plan* ? To the plans of superior managers ? To plans of your subordinates ?
- [10(d)] Are you conscious of any expectations for your plan held by government and/or by your superior manager ? What are they ?
- [10(e)] How do you review the plan or plans that you are responsible for ? To what degree is there provision for evaluation ?
- [10(f)] How do you report to senior management on the implementation of your plan ?
- [10(g)] What does Board management look for in the plans developed by the Board staff (divisional and branch managers, B.O.S.L.O.s, unit and section leaders) ?
- [11(a)] What specific local or situational factors have or should you identify in developing your plan ?
- [11(b)] How have you catered for these ?
- [12] What evaluation have you provided for with respect to your plan ?
- [13] Besides the Board's own plans and policies, what other policies and factors influenced and/or are still influencing the development of your plan * for 1990/1991, and 1991/1992; and * the longer term ?

APPENDIX C1: LIST OF DOCUMENTS RELATING TO PLANNING UNDERTAKEN BY THE BOARD OF STUDIES, N.S.W.

N.S.W. Legislation

N.S.W. Education and Public Instruction Act (1987) Government Printer: Sydney.

N.S.W. Education Reform Act (1990) Government Printer: Sydney.

N.S.W. Public Sector Management Act (1988) Government Printer: Sydney.

Other Related Documents (Not Developed by the Board of Studies, N.S.W.)

N.S.W. Ministry for Education and Youth Affairs. November, 1988. *Discussion Paper on the Curriculum in N.S.W. Schools* (Green Paper). Government Printer: Sydney.

Report of the Committee of Review of New South Wales Schools. (J. Carrick, Chairperson). September, 1989. Government Printer: Sydney.

Report of the Committee of Review on New South Wales Schools: A Summary of Conclusions and Recommendations. (J. Carrick, Chairperson). September, 1989. Government Printer: Sydney.

N.S.W. Ministry for Education and Youth Affairs. November, 1989. *Excellence and Equity* (White Paper). Government Printer: Sydney.

N.S.W. Ministry for Education and Youth Affairs. July, 1992. *The Carrick Report: Two Years On*. Government Printer: Sydney.

N.S.W. Department of School Education. April, 1990. *Scenarios - Developed for the NSW Department of School Education Corporate Plan 1990-2000*. Policy, Planning and Educational Audit Directorate.

Premier's Department, N.S.W. October, 1989. *Senior Executive Service*. Sydney.

Premier's Department, N.S.W. July, 1989. *Corporate Plan*. Sydney.

Premier's Department, N.S.W. December, 1990. *Performance Management - Program of Evaluations*. Memorandum No: 91-3.

Premier's Department, N.S.W. October, 1991. *Performance Management Guidelines for Staff in Positions Below S.E.S. Memorandum No: 91-28.*

N.S.W. Office of Public Management. *Managing for performance in the N.S.W. public sector. Strategic Management Brief. No 2, June, 1990.*

N.S.W. Office of Public Management. *Corporate and strategic planning checklist. Strategic Management Brief. No 3, October, 1990.*

N.S.W. Office of Public Management. *Guidelines for capital expenditure strategic plans. Strategic Management Brief. No 4, November, 1990.*

N.S.W. Office of Public Management. *New requirements and guidelines for program evaluation. Strategic Management Brief. No 5, March, 1991.*

N.S.W. Office of Public Management. *The strategic management cycle. Strategic Management Brief. No 6, October, 1990 (Updated May, 1991, and in 1992).*

N.S.W. Office of Strategic Management. July, 1991. *Making the Strategic Management Cycle Work.* Sydney.

Board of Studies Documents Relating to Planning

July, 1991. *Corporate Plan.*

1993. *Corporate Plan, 1993-1994.*

July, 1991. *Strategic Plan.*

January, 1992. *Strategic Plan.*

January, 1993. *Strategic Plan.*

1991. *Procedures Manual.*

January, 1992. *Assessment, Certification and Examination Manual (as amended).*

March, 1991. *Implementation of Curriculum Initiatives.*

March, 1991. *Guidelines for the Registration of Non-Government Schools.*

March, 1991. *Guidelines for Home Schooling.*

July, 1991. *Curriculum Requirements for N.S.W. Schools.*

July, 1991. *Report on Responses to the Implementation of Curriculum Initiatives.*

July, 1991. *Guidelines for Accelerated Progression.*

July, 1991. *Meeting the Challenge: the First Year.*

1991. *Report for Communications Strategies Project.*

1991. *Annual Report (1990-1991).*

1992. *Annual Report (1991-1992).*

1993. *Annual Report (1992-1993).*

1991. *Curriculum Outcomes.*

1991. *Fundamental Review of Programs.*

1992. *Fundamental Review of Programs.*

1993. *Fundamental Review of Programs.*

1990-1991. *Performance Agreement (President).*

1991-1992. *Performance Agreement (President).*

1992-1993. *Performance Agreement (President).*

1990-1991. *Performance Agreement (General Manager, Curriculum).*

1991-1992. *Performance Agreement (General Manager, Curriculum).*

1992-1993. *Performance Agreement (General Manager, Curriculum)*

1990-1991. *Performance Agreement (General Manager, Examinations and Assessment).*

1991-1992. *Performance Agreement (General Manager, Examinations and Assessment).*

1992-1993. *Performance Agreement (General Manager, Examinations and Assessment).*

1990-1991. *Performance Agreement (Manager, Curriculum Development and Registration).*

1991-1992. *Performance Agreement (Manager, Product Development and Marketing)*.

1992-1993. *Performance Agreement (Manager, Product Development and Marketing)*.

1992-1993. *Management Plan (Manager, Curriculum Development and Registration)*.

1990-1991. *Performance Agreement (Manager, Assessment and Systems)*.

1991-1992. *Performance Agreement (Manager, Assessment and Systems)*.

1992-1993. *Performance Agreement (Manager, Assessment and Systems)*.

1990-1991. *Management Plan (Manager, Administration and Finance)*.

1991-1992. *Management Plan (Manager, Administration and Finance)*.

1992-1993. *Management Plan (Manager, Administration and Finance)*.

1990-1991. *Management Plan (Manager, Board Support)*.

1991-1992. *Management Plan (Manager, Board Support)*.

1992-1993. *Management Plan (Manager, Board Support)*.

1990-1991. *Management Plan (Manager, Policy and Planning)*.

1991-1992. *Management Plan (Manager, Policy and Planning)*.

1992-1993. *Management Plan (Manager, Policy and Planning)*.

1990-1991. *Management Plan (Manager, Communications)*.

1991-1992. *Management Plan (Manager, Communications)*.

1992-1993. *Management Plan (Manager, Communications)*.

1990-1991. *Management Plan (Examinations and Certification)*.

1991-1992. *Management Plan (Examinations and Certification)*.

1992-1993. *Management Plan (Examinations and Certification)*.

1990-1991. *Management Plan (Manager, Finance)*.

- 1991-1992. *Management Plan (Manager, Finance)*.
- 1992-1993. *Management Plan (Manager, Finance)*.
- 1990-1991. *Management Plan (Manager, Administration)*.
- 1991-1992. *Management Plan (Manager, Administration)*.
- 1992-1993. *Management Plan (Manager, Administration)*.
- 1990-1991. *Management Plan (Liaison Officer, Metropolitan North)*.
- 1991-1992. *Management Plan (Liaison Officer, Metropolitan North)*.
- 1992-1993. *Management Plan (Liaison Officer, Metropolitan North)*.
- 1990-1991. *Management Plan (Liaison Officer, Metropolitan East)*.
- 1991-1992. *Management Plan (Liaison Officer, Metropolitan East)*.
- 1992-1993. *Management Plan (Liaison Officer, Metropolitan East)*.
- 1990-1991. *Management Plan (Liaison Officer, Metropolitan West)*.
- 1991-1992. *Management Plan (Liaison Officer, Metropolitan West)*.
- 1992-1993. *Management Plan (Liaison Officer, Metropolitan West)*.
- 1990-1991. *Management Plan (Liaison Officer, Metropolitan South West)*.
- 1991-1992. *Management Plan (Liaison Officer, Metropolitan South West)*.
- 1992-1993. *Management Plan (Liaison Officer, Metropolitan South West)*.
- 1990-1991. *Management Plan (Liaison Officer, Hunter)*.
- 1991-1992. *Management Plan (Liaison Officer, Hunter)*.
- 1992-1993. *Management Plan (Liaison Officer, Hunter)*.
- 1990-1991. *Management Plan (Liaison Officer, Western)*.
- 1991-1992. *Management Plan (Liaison Officer, Western)*.
- 1992-1993. *Management Plan (Liaison Officer, Western)*.
- 1990-1991. *Management Plan (Liaison Officer, North West)*.

- 1991-1992. *Management Plan (Liaison Officer, North West).*
- 1992-1993. *Management Plan (Liaison Officer, North West).*
- 1990-1991. *Management Plan (Liaison Officer, South Coast).*
- 1991-1992. *Management Plan (Liaison Officer, South Coast).*
- 1992-1993. *Management Plan (Liaison Officer, South Coast).*
- 1990-1991. *Management Plan (Liaison Officer, North Coast).*
- 1991-1992. *Management Plan (Liaison Officer, North Coast).*
- 1992-1993. *Management Plan (Liaison Officer, North Coast).*
- 1990-1991. *Management Plan (Liaison Officer, Riverina).*
- 1991-1992. *Management Plan (Liaison Officer, Riverina).*
- 1992-1993. *Management Plan (Liaison Officer, Riverina).*
- 1991-1992. *Management Plan, Special Projects Unit.*
- 1992-1993. *Management Plan, Special Projects Unit.*
- 1991-1992. *Management Plan, Assessment Unit.*
- 1992-1993. *Management Plan, Assessment Unit.*
- 1991-1992. *Management Plan, Computing Services.*
- 1992-1993. *Management Plan, Computing Services.*

APPENDIX C2: DOCUMENT SUMMARY FORM

SUMMARY OF DOCUMENT FORM

DOCUMENT NAME:
DOCUMENT NUMBER:
DATE RECEIVED:
WRITER[S]:
DATE OF ISSUE/PUBLICATION:
SOURCE:
OUTLINE OF DOCUMENT CONTENTS:
SIGNIFICANCE OF DOCUMENT:
COMMENTS:

APPENDIX C3: DATA REDUCTION ANALYSIS FORM - DOCUMENTS

Document/Item	1 Expectations for the Board	2 Changes in Expectations	3 Have Expectations Been Met ?	4 Board's Discretion to Develop Policy	5 Other Policy Influences on Board Plans Factors Influencing Plans
<i>Curriculum Report (September, 1989)</i>							
<i>Excellence and Equity (November, 1989)</i>							
<i>Discussion Paper on the Curriculum in N.S.W. Schools (November, 1988)</i>							
<i>N.S.W. Education Reform Act (1990)</i>							
<i>N.S.W. Public Sector Management Act (1988)</i>							
<i>N.S.W. Education and Public Instruction Act (1987)</i>							
<i>Scenarios (1990)</i>							
<i>Performance Management Memorandum 91-3</i>							
<i>Performance Management Memorandum 91-28</i>							
<i>Strategic Management Brief, 2, 1990</i>							
<i>Strategic Management Brief, 3, 1990</i>							
<i>Strategic Management Brief, 5, 1991</i>							
<i>Strategic Management Brief, 6, 1991</i>							
<i>Making the Strategic Management Cycle Work, 1991</i>							
<i>Corporate Plan, 1991</i>							
<i>Corporate Plan, 1993</i>							
<i>Strategic Plan, 1991</i>							
<i>Strategic Plan, 1992</i>							
<i>Strategic Plan, 1993</i>							
<i>Procedures Manual, 1991</i>							
<i>Assessment, Certification and Examination Manual (as amended)</i>							
<i>Implementation of Curriculum Initiatives, 1991</i>							
<i>Guidelines for the Registration of Non-Government Schools, 1991</i>							
<i>Management Plan, 1992-1993, Computing Systems</i>							

APPENDIX C4: SUMMARY OF DATA COLLECTED FROM DOCUMENTS

Area of Focus	Information Summary
Expectations for Board	<p>Formal expectations, expressed as roles/functions of the Board of Studies, N.S.W., are contained in two main documents: 1] <i>Carrick Report</i> (1989), the recommendations of which were accepted by Cabinet in 1989, and subsequently incorporated in 2] the <i>N.S.W. Education Reform Act</i> (1990) with the exception of <i>registration of government schools</i>.</p> <p>Curriculum expectations are provided in <i>Excellence and Equity</i>.</p>
Change in Expectations	<p>Inferred from amended <i>Strategic Plans</i>(1991-1992; 1992-1993); and the comparison of <i>Performance Agreements</i> and <i>Management Plans</i> for 1990-1991, 1991-1992 and 1992-1993. Changes include <i>increasing demands on the Board for cost cutting, for self finance through entrepreneurial activities; to respond to emerging needs of clients; and to accommodate emerging national policies on the curriculum, reporting and assessment</i>.</p>
Expectations Met ?	<p>Indicated in Annual Reports (1990-1991; 1991-1992; 1992-1993); reviews/evaluations of plans which focus on <i>targets</i>; and <i>Fundamental Review of Programs</i> (1991; 1992; 1993) All expectations have been reported as being met.</p>
Discretion to Develop Policy	<p>Not evident in planning documents but in the <i>products</i> of planning (e.g., <i>ACE Manual</i>, and <i>Media Release on Key Competencies</i> (September, 1991)).</p> <p>Board may develop implementation policies consistent with government policies but is required to gain Ministerial approval for changes to, or the introduction of new, curriculum policies as detailed in the <i>N.S.W. Education Reform Act</i> (1990). The Board appears to be more <i>autonomous</i> in <i>credentialling policy making</i>, unless it proposes major changes.</p>
Other Policy Influences	<p>Evidence exists in the content of plans and Board policies: <i>social justice</i> policies of state government (Aboriginal Education; Gender Equity; Education of the Disabled); requirements of Premier's Department regarding <i>Performance Management</i>; Office of Public Management requirements for planning; Treasury requirements; public sector policies on tendering,</p>

advertising, personnel, and accountability for expenditure; industrial legislation; state environment policy; and emerging agreements among states on national policies on curriculum and on reporting and assessment.

Independence	Explained in the <i>Carrick Report</i> (1989) and the N.S.W. <i>Education Reform Act</i> (1990). It refers to <i>independence</i> from the N.S.W. Department of School Education - the government school system - which had previously administered the policies and programs of credentialling and curriculum boards on behalf of the N.S.W. state government.
Consultative Process	Referred to in <i>Strategic Plans</i> (1991, 1992, 1993), <i>Implementation of Curriculum Initiatives</i> (March, 1991) and accompanying <i>Memorandum</i> . Also referred to in the Ministry's <i>Excellence and Equity</i> (November, 1989). Not defined specifically in documents but implies that the Board is to seek feedback on all of its major proposals in the implementation of curriculum and credentialling reform policy.
Adaptability of Board of Studies Policies	Evidence exists in certain Board of Studies documents: <i>Curriculum Requirements for N.S.W. Schools</i> (July, 1991) compared with the <i>Implementation of Curriculum Initiatives</i> (March, 1991); the <i>Strategic Plans</i> (1991) compared with the <i>Strategic Plans</i> (1992, 1993); and <i>Performance Agreements</i> (1991) and <i>Management Plans</i> (1991) compared with respective plans in 1992 and in 1993. Details of broad proposals and procedures are adaptable but policies relatively stable.
Links with Government	Evidence contained in the <i>N.S.W. Education Reform Act</i> (1990), <i>Strategic Management Briefs</i> (Office of Public Management, 1989-1992), and Board of Studies <i>Annual Reports</i> (1990-1991; 1991-1992; 1992-1993). The Board is required to follow the annual cycle of public management which entails reporting to government. All syllabuses must be approved by the Minister.
Corporate/ Strategic Plans: Why ?	Details of the reasons for these plans are given in Office of Public Management documents: <i>Strategic Management Briefs</i> and a <i>Discussion Paper on Corporate Plans</i> (1991). Also described in Board's <i>Corporate Plans</i> (1991; 1993). The <i>Corporate Plan</i> presents the <i>direction</i> of Board activities to the Board membership and staff by giving the mission and corporate objectives of

	<p>Board.</p> <p>The <i>Strategic Plan</i> details the targets within specific time periods and which staff are responsible.</p>
Corporate/ Strategic Plans: Expectations for Them ?	<p>Office of Public Management documents give the cycle of planning and guidelines, not the details of content. The concern appears to be effective and efficient public management.</p>
Corporate/ Strategic Plans: How ?	<p>Only extant documentary sources appear to be 1] the notes from President to Board members on Board meetings and the Conferences on <i>planning</i>, 2] materials used at the Planning Conference (November, 1990; November, 1991; October, 1992); and 3] drafts of various stages in producing the final versions.</p> <p>The plans have been developed by the Board and senior staff and subsequently amended with support of senior management and staff of the Policy and Planning Branch.</p>
Corporate/ Strategic Plans: Model ?	<p>Documented models appears to have been that developed earlier by the N.S.W. Department of School Education and guidelines given in Office of Public Management <i>Strategic Management Briefs</i>. There has also been the use of N.S.W. Department of School Education <i>Scenarios 2000</i> document and its subsequent amendments undertaken by Board of Studies staff.</p>
Corporate/ Strategic Plans: Links with Other Plans ?	<p>Documented links are 1] the compatibility of <i>objectives</i>, and <i>targets</i> across plans; and 2] the similar <i>structure</i> of the plans.</p>
Corporate/ Strategic Plan: Evaluation ?	<p>Office of Public Management (O.P.M.) documents set specific times for <i>reviews</i> of Corporate level plans and reporting to government.</p>
Performance Agreements/ Management Plans:Model ?	<p>Details in O.P.M. documents and in Premier's Memos.</p>

Performance
Agreements/
Management
Plans:
Structure ?

Guidelines in O.P.M. documents and Premier's Memos.

Performance
Agreements/
Management
Plans: Links
with
Corporate/
Strategic
Plans

No explicit statements of required links appear to exist in Board of Studies documents. O.P.M. documents identify *linear* links expected. There is a high degree of compatibility between *Corporate* and *Strategic Plans* and majority of *Performance Agreements* and *Management Plans*, particularly, *targets* and *outcomes*.

Performance
Agreements/
Management
Plans:
Expectations ?

Details of content of *Performance Agreements* are specified in O.P.M. *Strategic Management Briefs* and *Senior Executive Service* (1989). Similar requirements are being extended to all other management staff members who must have *Management Plans* based on *Performance Criteria* from 1992 (Premier's *Memoranda*, 91-3; 91-28).

Performance
Agreements/
Management
Plans: Who's
Involved ?

In majority of plans, the manager responsible developed the draft alone before the agreement was reached with supervisory manager. In a minority of cases, there was discussion of the content and areas of responsibility with staff.

Performance
Agreements/
Management
Plans:
Evaluation ?

Each plan has provision for judgements regarding reaching targets. There is a requirement in O.P.M. documents that there is a three monthly review of *Performance Agreements* with a focus on *targets*.

Factors
Influencing
Planning

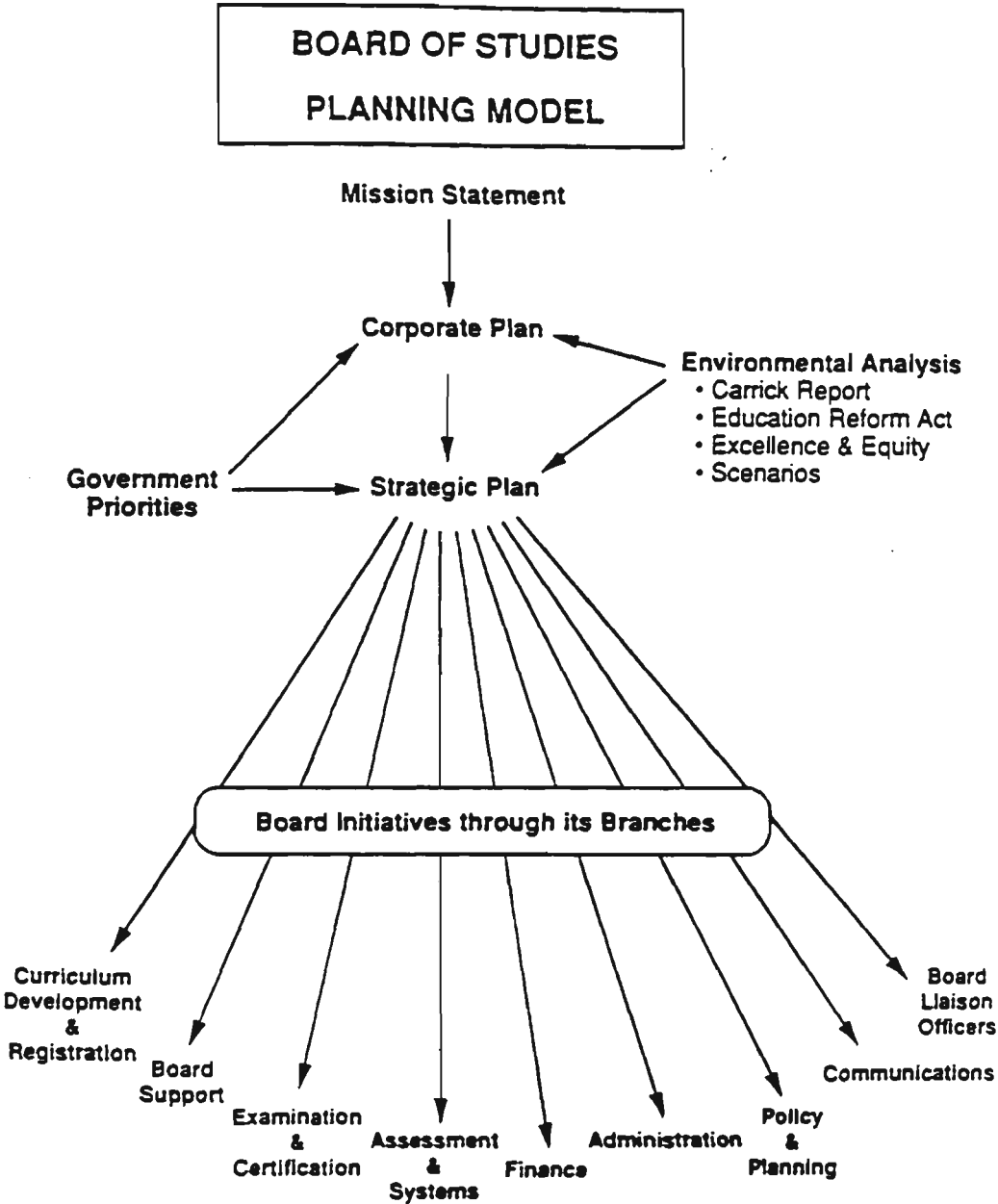
Little documented information exists on factors influencing planning. The notes provided to the Board for its planning conferences in 1990, 1991 and 1992, together with notes taken by individuals of discussions on planning, including a *Strengths-Weaknesses-Opportunities-Threats* (S.W.A.T.) Analysis undertaken by the senior staff in September and October, 1992, appear to be the only extant documents which refer to factors influencing planning. The main factors documented are:

- * functions and requirements of the Board given in the *N.S.W. Education Reform Act* (1990) and in *Excellence and Equity* (November, 1989);
- * Recommendations of the *Carrick Report* (September, 1989);
- * Futures identified in the *Scenarios* document;
- * Resource availability given a cabinet requirement for an annual reduction of 1.5 per cent;
- * experiences of the Board and its staff in curriculum development and credentialling planning in the past;
- * increasing influence of national collaboration on curriculum development and on credentialling;
- * changing government priorities;
- * demands of clients, including the large school systems;
- * O.P.M. requirements for planning; and
- * time needed to complete requirements of the annual planning cycle.

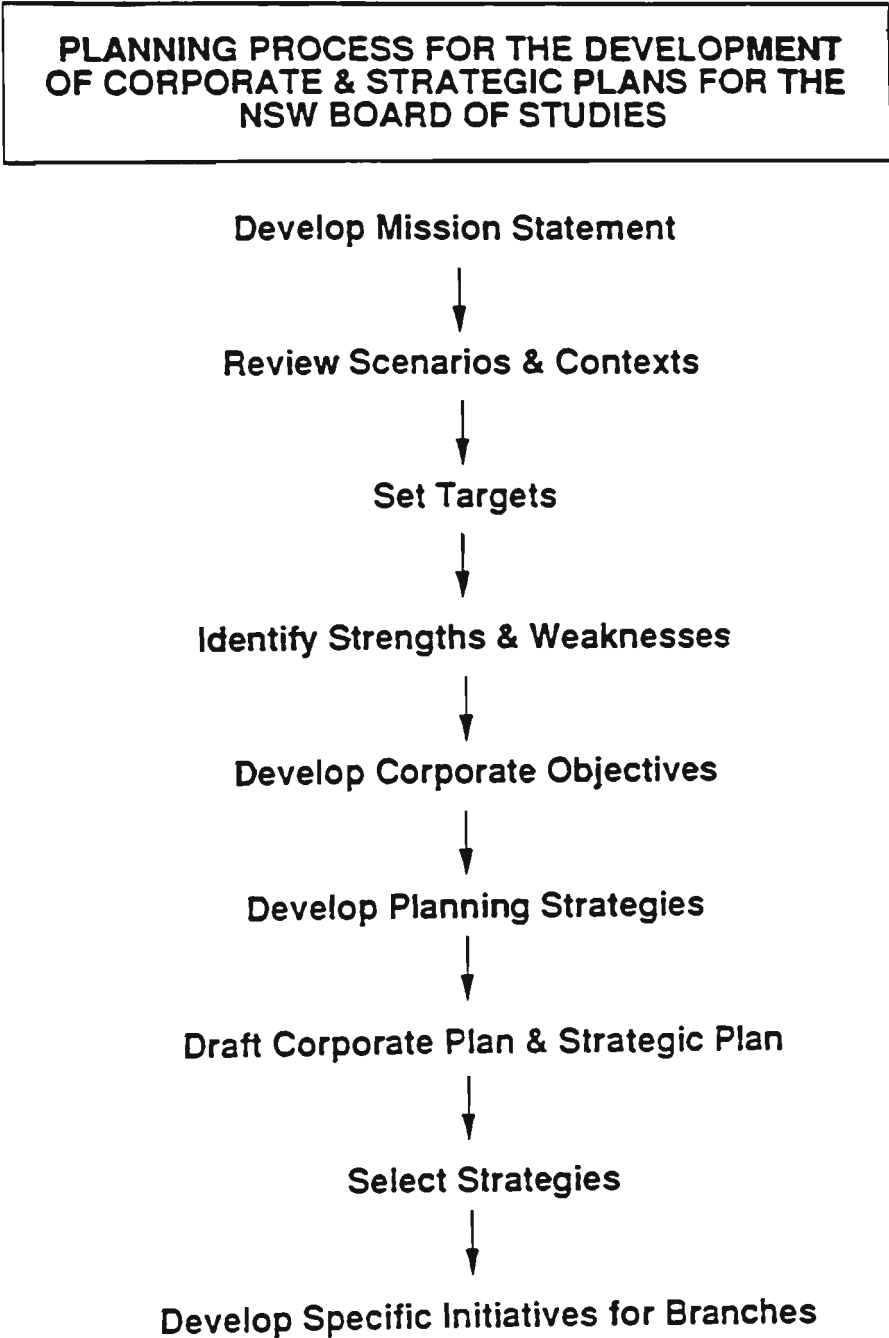
O.P.M. *Strategic Management Briefs*, and other Premier's Department documents on *Performance Management* and on the *Senior Executive Service* (1989) influence the planning process by providing guidelines. The O.P.M. documents indicate the cycle of corporate planning, and the areas which should be addressed. This includes consideration of factors likely to affect planning.

APPENDIX C5: EXAMPLES OF DOCUMENTS USED AT THE FIRST PLANNING CONFERENCE OF THE BOARD OF STUDIES, N.S.W.

Document 1 - A Board of Studies Planning Model



Document 2 - Planning Process for the Development of Corporate and Strategic Plans for the Board of Studies, N.S.W.



APPENDIX D1: LIST OF THE MANAGERS INTERVIEWED DURING THE STUDY

Informants	Dates of Interviews (Does not include follow-up discussions with informants)
President	13 November, 1991 and 11 December, 1991
General Manager, Curriculum	19 November, 1991 and 9 December, 1991
General Manager, Examinations and Assessment	19 March, 1992
Branch Manager, Curriculum Development and Registration (to January, 1992) and Manager, Product Development and Marketing (from January, 1992)	7 January, 1992
Branch Manager, Board Support (to March, 1991)	29 January, 1992
Branch Manager, Board Support (since March, 1991)	22 January, 1992
Branch Manager, Assessment and Systems	31 January, 1992
Branch Manager, Examinations and Certification	7 January, 1992
Branch Manager, Policy and Planning	31 October, 1991 and 11 December, 1991
Branch Manager, Communications	7 January, 1992
Manager, Administration and Finance (to March, 1991)	see below, <i>Deputy-Director, Corporate Services Unit</i>
Board of Studies Liaison Officers, Metropolitan East	12 December, 1991
Board of Studies Liaison Officer, Metropolitan North	30 January, 1992
Board of Studies Liaison Officer, Metropolitan West	31 January, 1992
Board of Studies Liaison Officer, Metropolitan South West	7 August, 1992
Board of Studies Liaison Officer, Hunter	18 February, 1992
Board of Studies Liaison Officer, North Coast	1 June, 1992
Board of Studies Liaison Officer, North West	11 December, 1991
Board of Studies Liaison Officer, Western	24 March, 1992
Board of Studies Liaison Officer, Riverina	12 May, 1992
Unit Head, Assessment	13 April, 1992
Unit Head, Special Projects	13 April, 1992
Board Inspector	12 November, 1992
Board Inspector	11 November, 1992
Chief Project Officer	2 October, 1992
Director, Corporate Services Unit	19 March, 1992
Deputy Director, Corporate Services Unit (formerly Manager, Administration and Finance, Board of Studies, N.S.W.)	30 January, 1992 and 18 February, 1992
Branch Manager, Administration	13 April, 1992
Branch Manager, Finance	13 April, 1992

APPENDIX D2: INTERVIEW GUIDE: SENIOR
AND MIDDLE MANAGEMENT OF BOARD OF
STUDIES, N.S.W., INVOLVED WITH
PLANNING

Interview Number:

Date:

Informant:

INTERVIEW GUIDE

SENIOR AND MIDDLE MANAGEMENT

BOARD OF STUDIES, N.S.W.
INVOLVED WITH PLANNING

Researcher: Michael J. O’Mullane

<div>Interview Guide</div> <div>This is not a questionnaire but a guide to the structuring of the areas to be covered in the interview</div>	
I. Background	
Thank informant for the opportunity to talk about planning in the Board of Studies, N.S.W.	
Explain the purpose of the interview and give an outline of the researcher's role as a researcher as well as a participant in planning the implementation of curriculum and credentialling policy within the Board organization.	
Date of Interview:	
Number of Interview:	
Time of Interview:	
Location of Interview:	
II. The Person	
Name:	
Current Position:	
Time in Position From:	To:

III. Focus on the Board of Studies, N.S.W. [expectations, roles, functions, planning process and degree of autonomy]

[1(a)] What is the background to the establishment of the Board of Studies, N.S.W. ?

[1(b)] What do you believe/think/feel are the expectations of state government [Cabinet/Premier/Minister] for the Board of Studies ?

[1(c)] Has there been any change in the expectations of the government for the Board since the concept of the Board was first indicated ? Explain

[1(d)] To what extent have these expectations been put into practice through Board activities ? [Have the expectations been met ?]

[2] The Board of Studies, N.S.W., is often described as an "independent" curriculum and credentialling authority. What do you believe/feel/think this means ?

[3] Is the Board in a position to develop its own policies ? [How much discretion does the Board have in developing its own policies ?]

[4] Besides the curriculum and credentialling policies, what other policies, of which you are aware, does the Board work within, or should take into account ?

[5] The phrase *consultative process* has been used with respect to the Board over the last year or so. What does *consultative process* mean ?

[6] How adaptable are Board policies to the changing circumstances ? (e.g., changes in the character of clients, changes in technology, changes in *knowledge*)

[7] What interaction is there between the government and the Board of Studies regarding the Board's activities ? To what degree does the Board report to the government/minister about its plans and activities ?

IV. Board Planning

[8(a)] The Board has a *Corporate Plan* and a *Strategic Plan*. Why were these developed ?

[8(b)] How were they developed ? What decisions were made ? Was any particular model of planning used ? Explain

[8(c)] Who was involved ?

[8(d)] What other types of plans has the Board developed ? Describe.

[9(a)] How does the Board propose to evaluate its *Corporate Plan* and its *Strategic Plan* ?

When ?

By whom ?

[9(b)] Has or can the Board's *Corporate Plan* and *Strategic Plan* be modified ? Explain

V. Planning by Management Staff of the Board.

[10(a)] What plan has been developed or is being developed for your area of responsibility ?

[10(b)] How was it developed ? Who was involved ? How is it structured ? What model was used ?

[10(c)] How does your plan relate to other plans of the Board, in general ?

To the *Corporate Plan* ?

To the *Strategic Plan* ?

To the *plans* of *superior* managers ?

To *plans* of your *subordinates* ?

[10(d)] Are you conscious of any expectations for your plan held by government and/or by your superior manager ? What are they ?

[10(e)] How do you review the plan or plans that you are responsible for ? To what degree is there provision for evaluation ?

[10(f)] How do you report to senior management on the implementation of your plan ?

[10(g)] What does Board management look for in the plans developed by the Board staff (divisional and branch managers, BOSLOs, unit and section leaders) ?

[11(a)] What specific local or situational factors have or should you identify in developing your plan ?

[11(b)] How have you catered for these ?

[12] What evaluation have you provided for with respect to your plan ?

[13] Besides the Board's own plans and policies, what other policies and factors influenced and/or are still influencing the development of your plan

* for 1990/1991, and 1991/1992; and

* the longer term ?

APPENDIX D3: DATA REDUCTION ANALYSIS FORM - INTERVIEWS

Person/Item	1 Expectations for the Board	2 Changes in Expectations for the Board	3 Have the Expectations Been Met ?	4 Board's Discretion to Develop Policy	21 Factors Influencing Planning
President						
General Manager, Curriculum						
General Manager, Examinations and Assessment						
Manager, Policy and Planning						
Manager, Communications						
Manager, Assessment and Systems						
Manager, Examinations and Certifications						
Manager(1), Board Support						
Manager(2), Board Support						
Manager, Curriculum Development and Registration						
Manager, Finance						
Manager, Administration						
Director, Corporate Services Unit						
Deputy Director, Corporate Services Unit/ Manager, Administration and Finance, Board of Studies, N.S.W.						
Board Inspector						
Board Inspector						
Manager, Product Development and Marketing						
Liaison Officer(Nine)						
Liaison Officer						
Unit Leader, Special Projects						
Unit Leader, Assessment						
Senior Research Officer						

APPENDIX D4: SUMMARY OF DATA COLLECTED FROM INTERVIEWS

Area of Focus	Information Summary
Expectations for Board	<p>Informants reported that the general expectations of the government for the Board are given in two documents:</p> <p>1] <i>Carrick Report</i> (September, 1989) which was accepted by Cabinet, and incorporated in 2] the <i>N.S.W. Education Reform Act</i> (1990) with exception of the recommendation for the "registration of government schools".</p> <p>Curriculum and credentialling expectations are given in <i>Excellence and Equity</i> (November, 1989).</p> <p>The expectations reported specifically are</p> <ul style="list-style-type: none"> * the Board will be independent of the N.S.W. Department of School Education and have its own public sector staff; * the Board will be the K-12 curriculum and credentialling authority for the state; * the Board will recommend to the Minister the registration of non-government schools; * the Board will accredit non-government schools for the award of credentials in secondary education; * the Board will recommend to the Minister the registration of home schools; * the Board will provide support materials for its syllabuses; * the Board will develop appropriate curriculum resources to assist in the education of students with an Aboriginal background; and * the Board will monitor the application of its policies in schools. <p>Other expectations reported include</p> <ul style="list-style-type: none"> * that there will be a smooth running of the H.S.C. each year; * that the Board will provide leadership in curriculum for the state and more broadly; * that the Board will plan and design the specific curriculum and credentialling requirements in the Ministry's <i>Excellence and Equity</i> (November, 1989). * that the Board will be more accountable to the community than previous boards; * that the Board will have a full-time President; * that the Board will have a higher profile than previous Boards; * that the Board will be seen to be in control of the curriculum design process; * that the Board will undertake consultation over its

proposals;

- * that the Board will play a less intrusive role in the affairs of non-government schools;
- * that the Board will be more representative of groups in school level education in N.S.W. than previous boards;
- * that the Board will include in its work the design of syllabuses which are more vocationally oriented;
- * that the H.S.C. will be of high quality;
- * that the curriculum for credentials will be more rigorous;
- * that the Board will not be controversial;
- * that the Board will operate efficiently (*least-cost*);
- * that the Board will treat government and non-government schools equally; and
- * that the Board will develop quality syllabuses and quality support materials.

Change in
Expectations

There were two different sets of responses from informants:
1] there are no changes in the main expectations for the Board regarding curriculum and credentialling; and
2] there are new expectations regarding *productivity, and more efficient use of resources*.
Overall, expectations seem to be emerging, especially, for the modification of the number and scope of syllabuses.

Expectations
Met ?

All main expectations have been met. But some expectations have been altered by government, e.g., reduction in numbers of syllabuses required by *Excellence and Equity* (November, 1989).
There has been a negotiation between the Board, clients and government to delay the introduction of new 100 hour syllabuses in Australian Geography and Australian History till 1993.

Discretion to
Develop Policy

May develop policies within functions given by the *Act* but actually has little discretion as all curriculum changes must be approved by the Minister. The Board has more discretion to develop policies on credentialling over which the Minister has less direction jurisdiction under the *Act*.

Other Policy
Influences

A wide range of other policies influence the Board including:
* *N.S.W. Public Sector Management Act*;
* *N.S.W. Public Audit Act*;
* *N.S.W. Teaching Services Act*;
* Equal Employment Opportunity Policies;
* policies on *Non Smoking*, gender, Aboriginal

education, the environment, finance, accountability for spending of public monies, tendering, advertising, entrepreneurial activities, media, publications, and *user-pay*. There are also influences coming from the federal government and the decisions of the Australian Education Council of state Ministers for Education. These include initiatives in *post-compulsory education*, and attempts to develop a national approach to curriculum, assessment and reporting in school level education.

Independence	<p>Refers to <i>independence</i> from the N.S.W. Department of School Education, i.e., the government school system. The Board is not bound by the corporate objectives of any one of its clients.</p> <p>The Board has its own public sector staff. Previous boards were served by staff of the N.S.W. Department of School Education.</p> <p><i>Independence</i> from the Minister is yet to be clarified and tested and is not clear.</p>
Consultative Process	<p>The Board has a policy of direct consultation with its clients to gain ideas and provide information. It also entails building a consensus about changes. This approach is broader than <i>consultation</i> undertaken by previous boards. It has been very successful. The process includes <i>consultative meetings, surveys, reference panels, direct feedback from Board Officers on interactions with clients, using consultative networks, and special meetings with client groups</i>. Some informants stated that the focus of the larger meetings was on <i>information giving</i> not on seeking feedback.</p>
Adaptability of B.O.S. Policies	<p>The Board can adapt its policies in response to feedback from clients, e.g., changes to certain proposals given in <i>Implementation of Curriculum Initiatives</i> (March, 1991) regarding the minimum number of units required from each Key Learning Area groups.</p> <p>The culture of the Board is one which seeks to treat all schools equally. It therefore wishes to respond to particular needs of students and the community.</p> <p>The Board is more flexible than previous boards and has an approach of allowing <i>room for change</i> in response to feedback from clients.</p> <p>However, there is little flexibility in government policies which it cannot adapt.</p>

Links with Government

The President has a *Performance Agreement* with the Minister which sets down the undertakings of the President within a specific time frame. This agreement provides the core of direction for the activities of the President. The President also has a three monthly review of his *Performance Agreement* with the Minister.

The President is responsible to the government for the use of treasury funds.

There is a yearly review of the performance of the Board within the review of the School Education and Youth Affairs Portfolio by the Minister/Premier.

The President has a meeting with the Minister at least every two weeks to share information.

The Minister receives copies of Board documents including its decisions for information purposes.

The Board is required to follow the annual cycle of public management which entails reporting to government.

All syllabuses must be approved by the Minister.

This includes approving the concept of the syllabus, the syllabus brief, the issuing of drafts to schools for *trialing*, and the final version. The Minister is responsible for approving of the registration of non-government schools and of home schools on the recommendations of the Board.

Corporate/ Strategic Plans: Why ?

The *Corporate Plan* puts into writing the intentions of the Board as a *public document*. It indicates to the Board members, staff and the Board's clients what the Board *is about* by giving the mission and corporate objectives. The *in-house Strategic Plan* details the targets within specific time periods and which staff are responsible. Both serve as *guidance* systems for the Board membership and for staff.

Corporate/ Strategic Plan: Expectations for Them?

The content of each is as follows. The *Corporate Plan* gives the mission and corporate objectives and the *Strategic Plan* gives the *targets* to be reached by specific points in time. The structure for each is similar to other *Corporate* and *Strategic Plans* of other government organizations. The *Corporate Plan* lists the *mission statement* and *corporate objectives* (16 in 1991; 12 in 1993). The *Strategic Plan* is structured into columns which list the *targets* and the implementation *strategies* under each of the *corporate objectives*.

Corporate/
Strategic
Plan:How ?

The development of the first *Corporate Plan* and the initial *Strategic Plan* followed a sequence of steps which largely appears to have been evolutionary.

When the Board first met, in July, 1990, it had no documented plan, only the functions given in the *N.S.W. Education Reform Act* (1990), and the *Carrick Report* (September, 1989), and the curriculum expectations given in *Excellence and Equity* (November, 1989).

In October, 1990, the President and the Board members agreed to develop a *Corporate Plan* and a *Strategic Plan*. The President and the senior management staff drafted a number of proposals on the areas which might be covered in the *Corporate Plan*. These were provided to the Board, along with other material on corporate planning, including a document produced by the N.S.W. Department of School Education, as *Scenarios*. A two day planning conference was held in November, 1990, at which the drafted ideas and other materials were considered by the Board in drafting a *mission statement*, and *corporate objectives*. An external management consultant in corporate planning was used during the conference to assist the Board in its decision making. Board members worked in small groups to develop further ideas on the *mission statement* and on corporate objectives. The models for the *Corporate Plan* and the *Strategic Plan* were those produced by the N.S.W. Department of School Education when the President was its Deputy Director General. The Board's Plans have similar structures to those of the Department which also used advice from an external consultant. The ideas produced at the planning conference were drafted into a *Corporate Plan* and a *Strategic Plan* by staff of the Policy and Planning Branch. The targets in the *Strategic Plan* were largely provided by *Excellence and Equity* (November, 1989). The drafts were available for comment by senior management staff, who, along with branch managers were also developing their own *Performance Agreements* or *Management Plans* during the same period. Drafts were reviewed by the Board's *Planning Committee* before the Board approved of both the *Corporate Plan* and the *Strategic Plan* in July, 1991.

The initial *Strategic Plan* was evaluated in the latter quarter of 1991 and amendments were made for the version issued by the Board in January, 1992. In developing this version, the staff of the Board had more opportunity to offer input. A similar process has occurred each year. In 1992, however, both the *Corporate* and *Strategic Plans* were evaluated and both were modified for 1993.

Ministerial approval has been sought for both *Corporate* and *Strategic Plans* when initially developed and for each amendment. Each draft of amended plans has required further modifications to reflect Cabinet priorities and O.P.M. guidelines before final approval has been gained. Note that the majority of the management staff interviewed indicated that they had little direct involvement with both of the two plans originally. The main informants were the President, the General Managers and the Manager, Policy and Planning.

Corporate/
Strategic
Plans: Model ?

The models appear to have been those developed earlier by the N.S.W. Department of School Education when the President was the Department's Deputy Director-General. There has also been the use of N.S.W. Department of School Education *Scenarios* document which has subsequently been enhanced. There were some modifications to the models developed by the President from personal experiences in planning.

Corporate/
Strategic
Plan: Links
with Other
Plans ?

Links are perceived differently among informants; one group saw that the content and structure were models for other plans, especially, the targets in the *Strategic Plan* which would assist all managers by indicating areas which needed to be taken into account in planning; another group indicated that the *Corporate* and *Strategic Plans* were not helpful in planning as they tended to focus on *initiatives* to the neglect of *on-going* and *routine* areas for which particular managers had responsibilities. The former informants reported the tendency to take *targets* in the *Strategic Plan* into account when developing their own plans as well as their superior manager's *Performance Agreement* or *Management Plan*; the latter indicated the tendency to relate their plans more to the *Performance Agreement* or *Management Plan* of their superior manager and their *job description*.

Corporate/
Strategic
Plan:
Evaluation ?

The *Corporate Plan* was amended for 1993. The main change was the reduction of the number of corporate objectives from 16 to 12 which is closer to the number recommended by O.P.M. The first *Strategic Plan* was reviewed in October and November, 1991, with the assistance of staff. Certain targets were refined and new ones set for the next one to two years. A similar review has occurred each year to adapt the *Strategic Plan* to changes in priorities and changes in the external environment.

Performance Agreements/ Management Plans: Model ?	The main model used by each manager was the plan of the supervisory manager. As all of these were based on the President's <i>Performance Agreement</i> there was a very high degree of uniformity in the areas covered and in the structure. The structure is columnar with, in general, common headings of <i>undertakings</i> , <i>targets</i> , and <i>evaluation</i> .
Performance Agreements/ Management Plans: Structure ?	The structure of all plans is columnar with, in general, common headings of <i>undertakings</i> , <i>targets</i> , and <i>evaluation</i> .
Performance Agreements/ Management Plans: Links with Corporate/ Strategic Plans	Informants generally indicated that there had been no explicit requirement to link their plans and the <i>Corporate</i> and <i>Strategic Plans</i> . However, there was a high degree of compatibility between the <i>Corporate</i> and <i>Strategic Plans</i> and majority of <i>Performance Agreements</i> and <i>Management Plans</i> .
Performance Agreements/ Management Plans: Expectations?	Informants indicated that there was an expectation that their plans should be linked directly with that of their superior manager, using the same areas and format.
Performance Agreements/ Management Plans: Who's Involved ?	In majority of plans, the manager responsible developed the draft alone before the agreement was reached with supervisory manager. In a minority of cases, there was discussion of the content and areas of responsibility with staff.
Performance Agreements/ Management Plans: Evaluation ?	Each plan has provision for judgements regarding the achievement of targets. There is also a requirement that there is a three monthly review of each plan with the superior manager (except with Liaison Officers where it is six months) to focus on the attainment of <i>targets</i> . Following the review with the immediately superior manager, there is for Branch managers and above, a meeting with the President and the superior manager. Informants indicated that there is <i>on-going</i> self review, often on a daily basis, to determine if targets are being met and to identify other areas needing attention. No informant indicated that the plan itself is evaluated, only the attainment of <i>targets</i> or the meeting of undertakings.

Each manager responsible for supervising staff indicated regular, informal, review of targets, and regular meetings with staff to assist in co-ordination of work in reaching targets.

Factors Influencing Planning

The factors identified in interview as influencing planning were:

* expectations of government for curriculum and credentialling changes given for the period 1990-1992 are described in

- * *N.S.W. Education Reform Act* (1990);
- * *Carrick Report* (September, 1989); and
- * *Excellence and Equity* (November, 1989).

* specific expectations of the government for curriculum and credentialling change for 1991-1992:

- * National curriculum framework statements;
- * National post-compulsory education initiatives;
- * State initiatives in the education of the disabled;
- * Providing more access to the Higher School Certificate Program;

* State requirements under principles of Performance Management;

* O.P.M. requirements for

- * an annual planning cycle; and
- * corporate level plans.

* Personal experiences of staff;

* Planning undertaken by other public organizations in N.S.W.;

* State budgetary policy requiring a budget reduction each year of 1.5 per cent;

* need to maintain the momentum of the curriculum and credentialling reform changes; and

* expectations from the community for the development of certain provisions for certain groups of students, such as, adult learners, students seeking vocational training in their H.S.C. program, Aboriginal students, girls, and geographically isolated students.

APPENDIX E1: DATES OF FORMAL PARTICIPANT OBSERVATION ACTIVITIES PRIOR TO AND AFTER THE ESTABLISHMENT OF THE BOARD OF STUDIES, N.S.W. (FROM THE RELEASE OF THE CARRICK REPORT, SEPTEMBER, 1989)

Date	Occurrence
28, 29 August, 1989	Regional Field Officer conference with management staff serving the Board of Secondary Education
15, 16, 17 November, 1989	Regional Field Officer conference with management staff serving the Board of Secondary Education
12, 13, 14 December, 1989	Higher School Certificate illness/misadventure appeals panel
6, 7, February, 1990	Regional Field Officer conference with management staff serving the Board of Secondary Education
23 February, 1990	Planning/resolutions day - Regional Field Officers, Board of Secondary Education
5, 6 April, 1990	Regional Field Officer conference with management staff serving the Board of Secondary Education
26, 27 April, 1990	Joint Secondary Schools/T.A.F.E. conference
3 May, 1990	Planning/resolutions day - Regional Field Officers, Board of Secondary Education

[N.S.W. Education Reform Act - June, 1990]

14, 15 June, 1990	Board of Studies Liaison Officer conference with management staff of the Board
22 June, 1990	Observation of Board of Studies meeting in the South Coast with secondary school principals on the School Certificate gradings system (Wollongong area)
28 June, 1990	Observation of Board of Studies meeting in the South Coast with secondary school principals on the School Certificate gradings system (Queanbeyan area)
28 June, 1990	Observation of Board of Studies meeting in the South Coast with secondary school principals on the School Certificate gradings system (Batemans Bay area)
24 July, 1990	Board of Studies Liaison Officer conference with senior management - focus on the Board and on curriculum and credentialling changes
16 August, 1990	Planning/resolutions day - Board of Studies Liaison Officers
10, 11 September, 1990	Board of Studies Liaison Officer conference with management staff of the Board
16 October, 1990	Board of Studies Liaison Officer conference with management staff of the Board
16 October, 1990	Observation of consultative meeting of senior management of the Board with state primary principals on curriculum changes under <i>N.S.W. Education Reform Act</i> (1990)
14 November, 1990	Joint Secondary Schools/T.A.F.E. conference

14 November, 1990	Observation of consultative meeting of senior management of the Board with representatives of secondary principals on curriculum changes under <i>N.S.W. Education Reform Act</i> (1990)
15 November, 1990	Board of Studies Liaison Officer conference with management staff of the Board
16 November, 1990	Board of Studies Liaison Officer conference with management staff of the Board
19 November, 1990	Observation of consultative meeting between President of Board of Studies, N.S.W., and about 400 <i>clients</i> in Wollongong on curriculum and credentialling changes under <i>N.S.W. Education Reform Act</i> (1990)
19 November, 1990	Observation of consultative meeting between President of Board of studies, N.S.W. and about 100 <i>clients</i> in Queanbeyan on curriculum and credentialling changes under <i>N.S.W. Education Reform Act</i> (1990)
20 November, 1990	Observation of consultative meeting between General Manager, Curriculum, Board of Studies, N.S.W. and 40 <i>clients</i> in Moruya on curriculum and credentialling changes under <i>N.S.W. Education Reform Act</i> (1990)
23 November, 1990	Planning/resolutions day - Board of Studies Liaison Officers
3 December, 1990	Planning meeting - for induction of Board Inspectors, Board of Studies Liaison Officers and Curriculum Officers
11, 12, 13, 14 December, 1990	Illness/misadventure appeals panel
30, 31 January, 1 February, 1991	Induction course - Inspectors Liaison Officers, Curriculum

Officers

7, 8 February, 1991	Board of Studies Liaison Officer conference with management staff
14 March, 1991	Briefing day for Inspectors, Liaison Officers and Curriculum officers - <i>Implementation of Curriculum Initiatives</i> (March, 1991)
25, 26, 27 March, 1991	Board of Studies Liaison Officer conference with management staff
7 April, 1991	Board of Studies Liaison Officer conference with management staff
8 April, 1991	Joint Secondary Schools/T.A.F.E. conference
9 March, 1991	Board of Studies Liaison Officer conference with management staff
30 April, 1991	Observation of consultative meeting between General Manager, Curriculum, Board of Studies, N.S.W. and about 400 <i>clients</i> in Wollongong on curriculum and credentialling changes given in <i>Implementation of Curriculum Initiatives</i> (March, 1991)
2 May, 1991	Observation of consultative meeting between Manager, Curriculum Development and Registration of Board of Studies, N.S.W. and about 70 <i>clients</i> in Cooma on curriculum and credentialling changes given in <i>Implementation of Curriculum Initiatives</i> (March, 1991)
2 May, 1991	Observation of consultative meeting between Manager, Curriculum Development and Registration of Board of Studies, N.S.W., and about 20 <i>clients</i> in Narooma on curriculum and credentialling changes given in <i>Implementation of Curriculum Initiatives</i> (March, 1991)
11 June, 1991	Planning meeting - board endorsed courses

18, 19, 20 June, 1991	Board of Studies Liaison Officer conference with management staff
16 July, 1991	Conference for Inspectors, Liaison Officers and Curriculum Officers - <i>Curriculum Requirements for N.S.W. Schools</i> (July, 1991)
4, 5 September, 1991	Board of Studies Liaison Officer conference with management staff
19 September, 1991	Appraisal meeting
9 October, 1991	Professional development - Inspectors, Liaison Officers, Curriculum Officers
16, 17 October, 1991	Board of Studies Liaison Officer conference with management staff
31 October, 1991	Observation of meeting on registration of non government schools between client system principals and senior executives and General Manager, Curriculum
13, 14, 15 November, 1991	Board of Studies Liaison Officer conference with management staff
20 November, 1991	Observation of public presentation on new syllabus by Board Inspector to teachers, school and systems executives and parents (239 persons)
25 November, 1991	Observation of public presentation on new syllabus by Board Inspector to teachers, school and systems executives and parents (102 persons)
26 November, 1991	Observation of public presentation on new syllabus by Board Inspector to teachers, school and systems executives and parents (53 persons)
27 November, 1991	Observation of public presentation on new syllabus by Board Inspector to teachers, school and systems executives and parents (57 persons)

9 December, 1991	School Certificate and Higher School Certificate appeals panel
10, 11, 12, 13 December 1991	Illness/misadventure appeals panel
29, 30, 31 January, 1992	Board of Studies Liaison Officer conference with management staff
18, 19 March, 1992	Board of Studies Liaison Officer conference with management staff
30 April, 1992	Senior staff meeting
11 May, 1992	Joint Secondary Schools/T.A.F.E. conference
12 May, 1992	Board of Studies Liaison Officer conference with management staff
4 June, 1992	Senior staff meeting
17, 18 June, 1992	Board of Studies Liaison Officer conference with management staff
30 June, 1992	Attended Board meeting to give report on Liaison Officer operations
23 July, 1992	Senior executive meeting
30 July, 1992	Senior executive meeting
6, 7 August, 1992	Board of Studies Liaison Officer conference with management staff
10 August, 1992	Board of Studies forum on K-6 English with 389 <i>clients</i> at Albion Park
18 August, 1992	Board of Studies forum of President and 89 <i>clients</i> on H.S.C. <i>Pathways</i> at Albion Park
18 August, 1992	Observation of Board of Studies forum of President and 106 <i>clients</i> on H.S.C. <i>Pathways</i> at Goulburn

19 August, 1992	Observation of Board of Studies forum on K-6 English with 69 <i>clients</i> at Batemans Bay
20 August, 1992	Board of Studies forum on K-6 English with 67 <i>clients</i> at Queanbeyan
3 September, 1992	Senior executive meeting on corporate and strategic planning
17, 18 September, 1992	Board of Studies Liaison Officer conference with management staff
2 October, 1992	Senior executive meeting/planning conference
8 October, 1992	Senior executive meeting
16 October, 1992	Board of Studies Liaison Officer planning workshop on <i>Pathways</i>
10, 11, 12 November, 1992	Board of Studies Liaison Officer conference with management staff
8, 9, 10, 11 December, 1992	School Certificate/Higher School Certificate appeals and H.S.C. illness/misadventure appeals panel

APPENDIX E2: TELEPHONE CONTACTS WITH STAFF OF THE BOARD OF SECONDARY EDUCATION AND BOARD OF STUDIES, N.S.W. REGARDING BOARD POLICIES

1. BOARD OF SECONDARY EDUCATION

1989		F	M	A	M	J	J	A	S	O	N	D	TOTAL
		26	26	26	41	11	45	37	30	71	42	43	398
1990													
		J	F	M	A	M							
		25	32	52	23	37							

2. BOARD OF STUDIES, N.S.W.

1990							J	J	A	S	O	N	D	TOTAL
							16	35	64	52	78	48	5	468
1991														
		J	F	M	A	M	J	J	A	S	O	N	D	TOTAL
		25	76	48	37	61	58	62	87	75	66	64	42	701
1992														
		J	F	M	A	M	J	J	A	S	O	N	D	TOTAL
		88	106	105	43	58	79	48	103	32	58	56	39	815

APPENDIX E3: PARTICIPANT OBSERVATION SUMMARY FORM

PARTICIPANT OBSERVATION SPECIFIC	
CIRCUMSTANCES NOTES	
MEETING NUMBER:	
DATE:	
TIME:	
GROUP-WHO:	
LOCATION:	
PURPOSE OF MEETING/INTERACTION:	
BRIEF DESCRIPTION OF CONTENT OF RELEVANCE TO RESEARCH	
DESCRIPTION	COMMENT

APPENDIX E4: DATA REDUCTION ANALYSIS FORM - MODIFIED PARTICIPANT OBSERVATION

DATE/ACTIVITY	1 Expectations for the Board	2 Changes in Expectations for the Board	3 Have the Expectations Been Met ?	4 Board's Discretion to Develop Policy	... 21 Factors Influencing Planning
28, 29, August, 1989 - Regional Field Officers conference with management staff serving the Board of Secondary Education					
15, 16, 17, September, 1989 - Regional Field Officers conference with management staff serving Board of Secondary Education					
12, 13, 14, December, 1989 - Higher School Certificate illness/misadventure appeals panel					
6, 7, February, 1990 - Regional Field Officers conference with management staff serving the Board of Secondary Education					
23 February, 1990 - Planning/resolutions day - Regional Field Officers, Board of Secondary Education					
5, 6, April, 1990 - Regional Field Officers conference with management staff serving the Board of Secondary Education					
26, 27, April, 1990 - Joint Secondary Schools/TAFE conference					
3 May, 1990 - Planning/resolutions day - Regional Field Officers, Board of Secondary Education					
14, 15, June, 1990 - Regional Field Officers conference with management staff of the Board of Secondary Education					
22 June, 1990 - Observation of meeting of senior management of Board of Studies with secondary school principals on School Certificate gradings systems (held in Wollongong)					
28 June, 1990 - Observation of meeting of senior management of Board of Studies with secondary school principals on School Certificate gradings systems (held in Queanbeyan)					
28 June, 1990 - Observation of meeting of senior management of Board of Studies with secondary school principals on School Certificate gradings systems (held in Batemans Bay)					
24 July, 1990 - Board of Studies Liaison Officers conference with senior management - focus on the Board and curriculum and credentialling changes					
...					
8, 9, 10, 11 December, 1992 - H.S.C. Illness/Misadventure appeals panel					

APPENDIX E5: SUMMARY OF DATA COLLECTED FROM PARTICIPANT OBSERVATION

Area of Focus	Information Summary
Expectations	<p>Outlined in meetings and conferences (5, 6 April, 1990; 14, 15 June, 1990; 24 July, 1990; 10, 11 September, 1990; 16 October, 1990; 14, 15, 16 November, 1990; 19, 20 November, 1990; 30, 31, January, 1991; 1 February, 1991; 7, 8 February, 1991; 14 March, 1991; 25, 26, 27 March, 1991; 7, 9 April, 1991; 30 April, 1991; 2 May, 1991; 2 May, 1991; 11 June, 1991; 18, 19, 20 June, 1991; 16 July, 1991; 4, 5 September, 1991; 16, 17 October, 1991; 31 October, 1991; 13, 14, 15 November, 1991; 29, 30, 31 January, 1992; 18, 19 March, 1992; 30 April; 1992; 11 May, 1992; 4 June, 1992; 17, 18 June, 1992; 30 April, 1992; 11 May, 1992; 4 June, 1992; 17, 18 June, 1992).</p> <p>Roles/functions were observed as those given in the three documents referred to over the period of study:</p> <p>1] <i>Carrick Report</i> (September, 1989) (accepted by Cabinet) and incorporated in</p> <p>2] <i>N.S.W. Education Reform Act</i> (1990) with exception of <i>registration of government schools</i>, and</p> <p>3] Curriculum Expectations in <i>Excellence and Equity</i> (November, 1989).</p>
Change in Expectations	<p>Evident in observations referred to above.</p> <p>Government expectations for Board still emerging and being clarified.</p> <p>More demands on Board for <i>cost cutting</i>, for <i>self finance</i> through <i>entrepreneurial activities</i>; and <i>to respond to emerging needs of clients</i>.</p> <p>There is evidence later in the period of the study that the senior managers perceived that the Minister was requiring more conformity with government policy changes in contrasts with the independent status of the Board given in the <i>Carrick Report</i> (September, 1989) which was constantly reaffirmed by the President.</p>
Expectations Met ?	<p>Evident in observations referred to above in Appendix E1, especially, 4, 5 September, 1991; 16, 17 October, 1991; 13, 14, 15 November, 1991; and 29, 30, 31 January, 1992; 17, 18 June,</p>

1992; 8 October, 1992.

Main expectations for the Board appear to have been met. However, not all expectations for *curriculum* given in *Excellence and Equity* (November, 1989) were met (e.g., 100 hour syllabuses in each of Australian History and Australian Geography for Years 7-10 were postponed from planned year of introduction in 1992 to 1993).

Discretion to Develop Policy	Not explicitly evident through participant observation. Inferred by matching actions against formal expectations and determining areas where policies have been developed by Board either formally or informally.
Other Policy Influences	Little evidence from meetings and conferences (except 30, 31 January, and 1 February, 1991; 29, 30, 31 January, 1992; 17, 18 September, 1992; 10, 11 November, 1992). Areas include <i>social justice</i> policies of state government (Aboriginal, Gender, Multicultural policies); and state government policies on the <i>environment</i> .
Independence	Evidence from meetings and conference (5,6 April, 1990; 14, 15 June, 1990; 24 July, 1990; 10, 11 September, 1990; 16 October, 1990; 14, 15, 16 November, 1990; 19, 20 November, 1990; 30, 31, January, 1991; 1 February, 1991; 7, 8 February, 1991; 14 March, 1991; 25, 26, 27 March, 1991; 7, 9 April, 1991; 30 April, 1991; 2 May, 1991; 2 May, 1991; 11 June, 1991; 18, 19, 20 June, 1991; 16 July, 1991; 4, 5 September, 1991; 16, 17 October, 1991; 31 October, 1991; 13, 14, 15 November, 1991; 29, 30, 31 January, 1992; 18, 19 March, 1992; 3 September, 1992; 2 October, 1992; 8 October, 1992). Refers to <i>independence</i> from the N.S.W. Department of School Education which previously had administered earlier statutory boards. The Board is not independent of government.
Consultative Process	Principles covered in meetings and conferences (24 July, 1990; 10, 11 September, 1990; 14, 15, 16 November, 1990; 30, 31, January, 1991; 1 February, 1991; 7, 8 February, 1991; 14 March, 1991; 25, 26, 27 March, 1991; 7, 9 April, 1991; 11 June, 1991; 18, 19, 20 June, 1991; 16 July, 1991; 4, 5 September, 1991; 16, 17 October, 1991; 31 October, 1991; 13, 14, 15 November, 1991; 29, 30, 31 January, 1992; 18, 19 March, 1992); and consultative meetings with <i>clients</i> (16 October, 1990; 14 November, 1990; 19 November, 1990; 20 November, 1990; 30 April, 1991; 2 May (two Meetings), 1991; 10 August, 1992; 18 August(Two Meetings), 1992; 19 August, 1992; 20 August, 1992).

Consultation involves informing *clients* about Board policies and outlining proposals with the intention of gaining some feedback which the Board may take into account in finalizing other policies, plans and procedures. It also includes the policy of encouraging *clients* to offer ideas to the Board.

Adaptability
of B.O.S.
Policies

Evident in Board's modification of requirements for credentials in secondary education following feedback from *clients* between March, 1991 and July, 1991.

Links with
Government

Described in meetings and conferences (see *Expectations of Government* above).
Board is required to follow the annual cycle of public management which entails reporting to government.
The President has regular meetings with the Minister to share information.
All syllabuses must be approved by the Minister. This includes the approval of the concept of the particular syllabus, the syllabus *brief*, the issuing of drafts for general feedback, and the approval of the *final* version."
The Minister approves of all registrations of non-government schools and home schools recommended by the Board.

Corporate/
Strategic
Plan:Why ?

Outlined at meetings and conferences (15, 16 November, 1990; 30, 31 January, 1 February, 1991; 29, 30, 31 January, 1992; 3 September, 1992; 2, 8 October, 1992).
The *Corporate Plan* indicates the mission and corporate objectives of the Board (*What the Board Does*). The *Strategic Plan* gives the short term *targets* to be achieved by the Board and its staff.
Both plans provide substantial guidance to staff; but the *Strategic Plan* indicates the more immediate areas to be addressed in management plans and in the actions of staff.

Corporate/
Strategic
Plan:
Expectations
for It ?

Expectations given in previous section.

Corporate/ Strategic Plans: How?	Process of development of these in 1990 not evident from observations excepting that drafts circulated among management staff along with discussion paper for discussion. Amended <i>Strategic Plan</i> discussed by staff in October, and November, 1991; and during September, and October, 1992, with opportunity for comment provided.
Corporate/ Strategic Plans:Model ?	No clear indication of any specific models used for these from <i>Participant Observation</i> .
Corporate/ Strategic Plan:Links with Other Plans ?	<p>Main indications of any specific links with other plans from <i>Participant Observation</i>, were at conferences (30, 31 January, 1 February, 1991; 7, 8 February, 1991; 25, 26, 27 March, 1991; 16, 17 October, 1991; 29, 30, 31 January, 1992; 23, 30 July, 1992; 3 September, 1992; 2, 8 October, 1992); and appraisal meetings (19 September, 9 December, 1991).</p> <p>These conferences and meetings included coverage of links with <i>Management Plans</i> of Board of Studies Liaison Officers. The focus was on the relationships of corporate objectives and strategic targets with undertakings of Liaison Officers.</p>
Corporate/ Strategic Plan: Evaluation ?	Evident in observations of review of <i>Strategic Plan</i> from October, 1991, to January, 1992; and from September, to November, 1992
Performance Agreements/ Management Plans:Model ?	Little evidence. Main model appears to be the <i>Strategic Plan</i> .
Performance Agreements/ Management Plans: Structure ?	Little evidence from observation. Structure expected of the <i>Strategic Plan</i> and <i>President's Performance Agreement</i> appears to be expected of all other plans.

Performance Agreements/ Management Plans: Links with Corporate/ Strategic Plans	See above <i>Corporate/Strategic Plan: Links with Other Plans</i> ? These seen as models of content to be addressed in <i>Performance Agreements</i> and <i>Management Plans</i> .
Performance Agreements/ Management Plans: Expectations ?	Little evidence gained through observation. BOSLO conferences and plan appraisals indicate certain expectations (4, 5, September, 1991; 19 September, 1991; 9 December, 1991; 29, 30, 31 January, 1992; 11, 12 May, 1992; 6, 7 August, 1992;). Expectations are 1] columnar structure similar to format of senior managers' <i>Performance Agreements</i> (<i>Undertakings, Targets, Evaluation/Further Action Required</i>); and 2] the addressing of areas of responsibility for the a 12 monthly period.
Performance Agreements/ Management Plans: Who's Involved ?	In the majority of plans, the manager responsible developed the draft alone before the agreement was reached with supervisory manager. In a minority of cases, there was discussion of the content and areas of responsibility with staff.
Performance Agreements/ Management Plans: Evaluation ?	There is a formal review of each manager's targets every three to six months depending the position: all managers based at the Board's location have three monthly reviews; BOSLOs have six monthly reviews up to late 1992, when a proposal for three monthly reviews is proposed.
Factors Influencing Planning	With the exception of a Strengths/Weaknesses /Opportunities/Threats analysis conducted by the senior executive in September, and October, 1992, the influence of any specific or general has been anecdotal. The main factors identified through participation are: <ul style="list-style-type: none"> * expectations of state Cabinet; * O.P.M. requirements; * Board's budget (must gain a 1.5 per cent reduction each year); * personal preferences of the President and other staff; * activities and emphases of the N.S.W. Department of School Education and T.A.F.E. with respect to curriculum; * staff perception of the structure of superior manager's plan;

- * staff perceptions of the expectations in the *Corporate and Strategic Plans*;
- * staff perception of their own autonomy in action;
- * models of planning used in other public organizations;
- * resources;
- * national curriculum initiatives, and in assessment and reporting;
- * managerial expectations;
- * practices inherited from the previous Statutory Board Directorate, the support organization of the earlier Board of Secondary Education; and
- * perceptions of client and community needs.

APPENDIX F1: MAGNITUDE OF INFORMATION PROVIDED BY EACH OF THE THREE MAIN DATA COLLECTION INSTRUMENTS: PERCEPTIONS BY RESEARCHER

Scale of Rating by Researcher	
Code	Meaning
*****	(5) Very Large Amount of Detail
****	(4) Large Amount of Detail
***	(3) Some Detail Provided
**	(2) Minor Information
*	(1) None or Very Little

Area of Focus	Documents	Interviews	Participant Observation
Expectations for Board	*****	****	*****
Change in Expectations	***	***	**
Expectations Met ?	****	*****	**
Discretion to Develop Own Policies	*	**	*
Other Policy Influences	**	***	**
Independence	*	*****	****
Consultative Process	**	*****	*****
Adaptability of B.O.S. Policies	*	***	***
Links with Government	*	*****	**
Corporate/Strategic Plans: Why ?	*	**	**
Corporate/Strategic Plans: Expectations for Them	*	**	*
Corporate/Strategic Plans: How ?	*	***	**
Corporate/Strategic Plans: Model ?	*	****	*
Corporate/Strategic Plans: Links with Other Plans	***	****	*
Corporate/Strategic Plans: Evaluation ?	*	****	*
Performance Agreements/ Management Plans: Model ?	*****	*****	****
Performance Agreements/ Management Plans: Structure ?	*****	*****	****
Performance Agreements/ Management Plans: Links with Corporate/ Strategic Plans ?	**	****	*
Performance Agreements/ Management Plans: Expectations ?	*	**	*
Performance Agreements/ Management Plans: Who's Involved ?	*	*****	*
Performance Agreements/ Management Plans: Evaluation ?	*	****	*
Factors Influencing Planning ?	*	*****	*

APPENDIX F2: QUALITY OF INFORMATION PROVIDED BY EACH OF THE THREE MAIN DATA COLLECTION INSTRUMENTS: PERCEPTIONS BY RESEARCHER

Scale of Rating by Researcher	
Code	Meaning
*****	(5) Very Large Amount of Detail
****	(4) Large Amount of Detail
***	(3) Some Detail Provided
**	(2) Minor Information
*	(1) None or Very Little

Area of Focus	Documents	Interviews	Participant Observation
Expectations for Board	*****	*****	*****
Change in Expectations	***	***	**
Expectations Met ?	****	*****	**
Discretion to Develop Own Policies	*	***	*
Other Policy Influences	**	***	**
Independence	*	*****	****
Consultative Process	**	*****	*****
Adaptability of B.O.S. Policies	*	***	***
Links with Government	*	*****	**
Corporate/Strategic Plans: Why ?	*	**	**
Corporate/Strategic Plans: Expectations for Them	*	**	*
Corporate/Strategic Plans: How ?	*	***	**
Corporate/Strategic Plans: Model ?	*	****	*
Corporate/Strategic Plans: Links with Other Plans ?	***	****	*
Corporate/Strategic Plans: Evaluation ?	*	****	*
Performance Agreements/ Management Plans: Model ?	*****	*****	****
Performance Agreements/ Management Plans: Structure ?	*****	*****	****
Performance Agreements/ Management Plans: Links with Corporate/ Strategic Plans ?	**	****	*
Performance Agreements/ Management Plans: Expectations ?	*	**	*
Performance Agreements/ Management Plans: Who's Involved ?	*	*****	*
Performance Agreements/ Management Plans: Evaluation ?	*	****	*
Factors Influencing Planning ?	**	*****	****

APPENDIX G1: STRUCTURE OF PLANS OF THE BOARD OF STUDIES, N.S.W.

Examples of Plan Layouts

(A) Performance Agreements and Management Plans

Undertaking	Progress as at 30 September, 1990	Action/Target, 31 December, 1991	Action/Target, 30 September, 1991	Progress as at 30 September, 1991

(B) Strategic Plan

Corporate Objective 1 Develop or endorse courses to meet the needs of the full range of students in a changing social, economic and technological environment		
TARGETS	1991 STRATEGIES	ACTION (PERSON RESPONSIBILITY)
1.1		

APPENDIX G2: CORPORATE PLAN OF THE
BOARD OF STUDIES, N.S.W.(1991)

B O A R D O F S T U D I E S
N E W S O U T H W A L E S

C O R P O R A T E
P L A N



The Corporate Plan of the New South Wales Board of Studies presents initiatives which look forward across the decade of the nineties to the early years of the next century.

Within the context of a broad education, focusing on a strong core of basic skills, the Board aims to provide students with the professional, technological and vocational skills to be active and creative participants in contemporary society.

Progression through the curriculum will be related to the achievement of identified outcomes, accommodating the individual needs of all students including those with special talents and those with disabilities. In the secondary years students will receive informative and portable credentials giving comprehensive records of their achievements.

The procedures for the registration and accreditation of non-government schools, and the Board's monitoring of its policies in all schools, will have as the major objective the enhancement of education for students in New South Wales.

Through interaction and consultation with parents, teachers and the community, the Board provides educational leadership in all its areas of responsibility. As a flexible, structurally efficient and dynamic organisation it will make productive and effective use of resources.

Many of the initiatives in the plan are already underway; the future directions have been clearly set.

J L Lambert

President
June 1991

STATEMENT OF PRINCIPLES

In all its work the Board of Studies:

- seeks to provide leadership to the educational community in its areas of responsibility;
- recognises that effectiveness, credibility, productivity and accountability are paramount;
- provides excellence in its services to schools, students and other clients;
- consults widely with schools, their communities, tertiary institutions and interest groups when implementing initiatives;
- uses resources effectively with due care for the environment;
- values challenges and responds to them with innovation, flexibility and creativity whilst having due regard to the importance of maintaining stable school environments;
- manages the introduction of change sensitively and effectively;
- emphasises a corporate identity;
- bases its policies on recognised research;
- takes cognisance of national and major world trends in education;
- ensures that its curriculum and support documents meet the needs of the full range of students and the teachers of all students;
- acts within and implements government policy.

MISSION STATEMENT

The Board of Studies has a leadership role in education. Within its charter the Board has a responsibility to guide and support all schools so they provide a quality education for the young people in their care in this State.

Therefore, in the context of community expectations and resources, the Board of Studies:

- develops courses of study in primary and secondary education and provides support for these courses;
- determines and monitors curriculum requirements;
- assesses and examines student achievements for the award of the School Certificate and Higher School Certificate;
- recommends the registration of non-government schools and determines accreditation;
- monitors the application of its policies in all schools.

CORPORATE OBJECTIVES

Objective 1:

To develop or endorse courses to meet the needs of the full range of students in a changing social, economic and technological environment.

The Board of Studies faces the major challenge of providing a curriculum for all students which is responsive to social, economic and technological change.

Whilst the Board will undertake an ambitious program of syllabus development and revision as required by *Excellence and Equity*, it will in the longer term, continue to use the Key Learning Area structure and to monitor contexts relevant to syllabus provision, (eg population data, migration trends), to identify gaps in provision. This strategy will be particularly important in ensuring all students, particularly the broader range returning to Years 11 and 12, face a challenging, stimulating, innovative and diverse curriculum

'the Board...seeks to provide leadership to the educational community'

'a challenging, stimulating, innovative and diverse curriculum'

'to provide students with knowledge and skills which they can apply as citizens in the 21st century'

which addresses their current and future academic and vocational needs.

Objective 2:

To develop or endorse courses and policies to ensure continuity of study from Kindergarten to Year 12 (K-12) and to promote education as a continuum.

Key Learning Area Framework Statements K-12 have been developed by the Board of Studies. They will be used to ensure all new syllabuses and current syllabuses (where necessary) offer continuity in the development of knowledge, understanding, skills, values and attitudes from Kindergarten through to Year 12.

Organisation of the curriculum into Stages 1-6, with statements of outcomes in syllabuses for the end of each stage, will result in a clearly articulated curriculum K-12. Such a clearly staged curriculum will allow all students flexible patterns of individual progression. Special attention will be paid to the critical years of change between primary and secondary schooling (Years 5-7) to ensure smooth transition for students.

Objective 3:

To review its curriculum policies, programs and syllabuses on a regular basis.

Rapid change requires the Board of Studies to establish mechanisms of evaluation and review which are:

- regular
- on-going
- reliable
- valid
- stringent.

In undertaking reviews of its work the Board will consult widely with schools, tertiary institutions, interest groups and the community.

Responsiveness to evaluations will result in appropriate, flexible, dynamic and innovative policies, procedures and syllabuses.

Objective 4:

To provide courses which facilitate transition to the world of work, further education and the post-school environment.

Within the context of a broad, general education it is recognised that schools must provide students with knowledge, understanding, skills, values and attitudes relevant to the world of work, as well as encouraging all students to seek further education beyond school. The Board of Studies is aware of the need to provide students with knowledge and skills which they can apply as citizens in the 21st century. To this end the curriculum will have stronger links with Technical and Further Education, universities, industry, commerce and the world of work. Portability of credits with TAFE and universities will be a feature of this greater articulation.

Objective 5:

To develop flexible progression patterns to address the needs of all students including multiple pathways such as part-time study and re-entry to education.

The goals of encouraging excellence and promoting equity have brought about new approaches to curriculum and credentialling requirements. It is acknowledged that students have different, individual learning styles and that progression through the curriculum, especially for talented students and students with disabilities, should be flexible to accommodate such differences.

This brings with it individualised curriculum pathways for students

including accelerated progression, part-time study and part-time work, portability of credits and multiple re-entry points.

Objective 6:

To provide useful, informative and portable credentials which meet the needs of the full range of students through a process of review of existing assessment and examination procedures.

The Board of Studies will provide all students with appropriate and comprehensive records of their achievements. It will maintain the quality of its credentials and records of achievement by:

- establishing a program of educational audit of its examination and assessment services and improving these as a result of the review process;
- reviewing its use of technology to facilitate delivery of examination and assessment services.

Negotiation and liaison with interstate authorities will ensure the needs of mobile students are addressed. In this context the Board is aware of the need to respond to a national view on accreditation and other educational issues raised in the federal sphere.

Objective 7:

To establish effective mechanisms for the evaluation of its policies and programs in government and non-government schools.

The Board of Studies is actively concerned with maintaining the educational quality of its policies and programs. The Board will encourage diversity and innovation while ensuring standards are maintained through careful monitoring and evaluation of its policies and programs. The Board will pass on to

other teachers the ideas and good practices that it finds in schools, thereby fulfilling its responsibility for educational enhancement in both government and non-government schools.

Objective 8:

To establish a positive community image, providing effective communication to schools, parents, industry, tertiary institutions and community groups.

Through interaction and consultation with parents, interest groups, the community and other educational institutions in both NSW and nationally, the Board of Studies will establish itself as a leader in curriculum and credentialling.

Effective communication strategies will foster the development of an organisation which is dynamic and effective in responding to schools and the community.

'an organisation which is dynamic and effective in responding to schools and the community'

Objective 9:

To establish registration and accreditation procedures to ensure compliance with Board of Studies requirements.

The Board's prime role is to ensure quality education in all schools. Registration and accreditation procedures are a means of fulfilling this function. Consultation with school systems and other interest groups will ensure the processes used for registering and accrediting schools are welcomed by all involved.

The role of registering and accrediting non-government schools will see the Board and its inspectorate guiding, supporting and assisting schools and school systems to develop and maintain effective educational enterprises.

Objective 10:

To ensure the provision of appropriate curriculum and support materials for children with special needs including talented students, students with disabilities, Aboriginal students, rural students, students from non-English speaking backgrounds and students from situations of socio-economic disadvantage.

Through research and consultation with schools and interest groups, the Board of Studies will provide syllabuses and support materials which address the needs of students of differing backgrounds and abilities. The Board will monitor its work in this area to ensure such provision is adequate, effective and sufficiently diverse.

Objective 11:

To ensure that its curriculum links closely with that of early childhood education and tertiary opportunities.

The establishment of a K-12 Board of Studies acknowledged schooling as being a continuum. In addition, the Board believes students should be encouraged to see learning as a life-long pursuit. The importance of the formative years, especially in early literacy and numeracy development, will be recognised by establishing links between early childhood education and Kindergarten when developing K-6 support materials and syllabuses. Similarly, the Board will ensure its secondary syllabuses and support materials support the smooth transition to further study and into the world of work.

Objective 12:

To ensure that its policies and syllabuses take account of gender issues.

Mechanisms will be established to guarantee that in all the Board's work, especially in the development of syllabuses, support materials and publications, the issues of gender equity are properly addressed. The Board of Studies will develop guidelines for use by syllabus designers and writers on ways to meet the diversity of learning needs of girls and boys.

Objective 13:

To support its curriculum with appropriate materials for teachers and parents and provide mechanisms and opportunities for educational enhancement across all New South Wales schools.

For all new syllabuses and progressively for existing ones, a range of support materials will be developed including print materials, videos and computer software. Contributions from schools, professional teachers' associations, national and international bodies will assist the Board of Studies to develop such materials. The exchange of views and pooling of ideas will ensure the Board provides materials to enhance the education of all students in NSW. Materials will also be developed to help parents to be more actively involved in the learning process.

Objective 14:

To develop and maintain optimum working conditions for employees of the Board of Studies.

In the context of Government priorities and policies, the Board will utilise innovative working arrangements and practices, such as job-sharing and part-time work, to maintain staff productivity and morale.

All staff will be encouraged to engage in stimulating and dynamic

'should be encouraged to see learning as a life-long pursuit'

professional development programs which address their present work needs and provide them with suitable future career paths.

Objective 15:

To support innovation and diversity in schools within the areas of the Board of Studies' responsibility, and within the overall objective of enhancing quality education.

The Board will support innovation and diversity in schools with due regard to the responsibilities, organisation and operation of government and non-government schools. By supporting innovation and diversity the Board will fulfil its responsibility for educational enhancement for all schools. The Board's inspectorate will play a key role in this and ensure that the good practices found in schools are passed on to others through a number of communication strategies.

'The Board will support innovation and diversity in schools'

Objective 16:

To provide national leadership and contribute to national cooperation in matters of curriculum, assessment and credentialling.

The Board of Studies will contribute to cooperative enterprises with other states, such as the national curriculum collaboration and the development of national syllabuses in some languages. Where its resources and expertise permit, the Board may provide leadership in these endeavours.

The Board has a commitment to improving the curriculum, assessment practices and credentials available to students in New South Wales. It believes that the syllabuses, support materials, assessment methods and other practices resulting from this endeavour should be shared where appropriate with other States.

CORPORATE STRUCTURE AND FUNCTIONS

The Board of Studies was established under the *Education Reform Act 1990* (NSW), replacing the former Board of Secondary Education. The Board has responsibilities from Kindergarten to Year 12 in three main areas:

- Curriculum
- Credentialling
- Registration and accreditation of non-government schools.

MEMBERS OF THE BOARD OF STUDIES

The Board of Studies has 23 members from a wide cross-section of educational and community groups. There are 19 appointed members, together with a full-time President and three ex-officio members. The ex-officio members are the Directors-General of School Education and Technical and Further Education, and the Executive Director of the Ministry of Education, Youth and Women's Affairs.

Nominees come from the following groups:

- NSW Vice-Chancellor's Committee (1)
- Council of the Federation of Parents and Citizens Associations of NSW (1 primary and 1 secondary school representative)
- Catholic Education Commission of NSW (1)
- Association of Independent Schools, Headmasters' Conference and Association of Heads of Independent Girls' Schools (1)
- Independent Teachers' Association (1)
- Catholic Education Commission of NSW and the NSW Parents' Council (1 parent of non-government school student)
- NSW Council of Primary School Principals (1)
- NSW Council of Secondary School Principals (1)

- NSW Teachers' Federation (1 primary and 1 secondary school teacher)
- Early childhood education (1 person with knowledge and expertise)
- Education of Aboriginal people (1 Aboriginal person with knowledge and expertise)

The Minister appoints, in addition, six persons with qualifications and experience to contribute to education in NSW, one of these having expertise in the education of students with disabilities and one having expertise in the education of students of non-English speaking backgrounds.

FUNCTIONS OF THE BOARD OF STUDIES

The functions of the Board as specified in the *Education Reform Act (1990)* are:

- (a) to develop or endorse syllabuses and exercise its other functions under Part 3 (The School Curriculum);
- (b) to provide advice and make recommendations to the Minister about the registration of non-government schools under Part 7;
- (c) to accredit registered non-government schools under Part 8;
- (d) to grant the recognised certificates;
- (e) to prepare and distribute to schools information relating to the courses of study for candidates for the recognised certificates, and information relating to eligibility to be granted those certificates;
- (f) to prepare and make available to schools curriculum support materials;
- (g) to develop or endorse courses of

- study that are appropriate for students (including candidates for the recognised certificates) who wish to continue at or return to school after the normal school-leaving age (including on a part-time basis);
- (h) to develop or endorse, in consultation with the Managing Director of Technical and Further Education, courses of study that will enable school students to be granted credits by colleges within the meaning of the *NSW Technical and Further Education Commission Act (1990)*;
 - (i) to make such arrangements as may be necessary for the conduct of examinations or other forms of assessment for candidates for the recognised certificates and to regulate the conduct of those examinations or other forms of assessment and the recording of candidates' achievements in them;
 - (j) to prepare and distribute to schools information relating to the conduct of examinations and other forms of assessment for candidates for the recognised certificates;
 - (k) to recognise, for any of the purposes of this Act, educational attainments obtained at educational institutions outside New South Wales;
 - (l) to provide advice and guidance to schools concerning the policies and practices of the Board;
 - (m) to provide advice and assistance to students, employers and the public concerning the nature and content of courses of study for the recognised certificates (and the assessment and reporting of candidates' achievements in those courses);
 - (n) to monitor, by inspection of schools and otherwise, the application of its policies in schools;
 - (o) to arrange for the development of appropriate curriculum resources and other material to assist in the education of school students with an Aboriginal background;
 - (p) to develop curriculum resources for use in the teaching of Aboriginal studies (including Aboriginal history and culture);
 - (q) to promote the provision of education in schools that adequately equips students to acquire a vocation and for their life in the community;
 - (r) to advise the Minister in relation to the following matters:
 - (i) any changes to the requirements of Part 3 that the Board considers appropriate;
 - (ii) the functions of the Minister under Part 4;
 - (iii) whether changes should be made in the number or type of recognised certificates;
 - (iv) the likely impact of any change in the Board's policies (particularly in relation to courses of study) on the overall planning, allocation or use of educational resources in New South Wales;
 - (v) special arrangements for students with disabilities, including the approval of special courses of study, the modification of requirements for the grant of the recognised certificates and the grant of special records of achievement;
 - (vi) any matter about which the Minister requests the Board's advice.

'to promote the provision of education in schools that adequately equips students to acquire a vocation and for their life in the community'

Operations of the Board of Studies

The Board operates through a standing committee structure with committees performing particular roles.

Standing committees make recommendations to the Board with the full Board meeting monthly to consider these.

The Curriculum Committee oversees the implementation of syllabus development K-12 and recommends approval to the Board.

The Assessment and Credentials Committee considers assessment and examining issues especially in relation to the School Certificate and Higher School Certificate.

The Planning Committee considers matters concerning the long-term planning and policies of the Board.

The Registration Committee considers matters in relation to the registration of non-government schools.

Two groups of Committees also assist the Board in fulfilling its curriculum responsibilities. These are Key Learning Area Coordinating Committees (KLACCs), which advise on matters in each of the 8 Key Learning Areas, and Syllabus Committees (for K-6 and 7-12) who have syllabus development functions.

BOARD STAFF

The Board is supported in its work by staff from the Public Service and Teaching Service. The staff of the Board are a highly motivated group who understand the purpose of their role and who are in the fortunate position of being able to see, perhaps more readily than many others in education, the benefits of their work for the children of New South Wales. This leads quite naturally to pride in the achievements of the Board and to high morale among staff. The staff consists of eight branches each with specific functions.

Administration

Administration Branch is responsible for coordinating and overseeing general office administration. This comprises personnel matters, recruitment, Freedom of Information, receipt and dispatch of mail, stores, motor vehicles, issuing past copies of certificates, records and files.

Finance

Finance Branch is responsible for management of the Board's budget allocations and cashflow reporting. It organises payment of examination presiding officers and supervisors, examination markers, seasonal clerical staff, committee members and miscellaneous accounts. The branch also receipts and banks remittances and maintains a petty cash float.

Curriculum Development and Registration

This Branch is responsible for the development of syllabuses and curriculum support materials for all Key Learning Areas, Kindergarten to Year 12. The Branch is also responsible for the registration of non-government schools and home schoolers. The Branch provides curriculum advice and expertise for all schools and advises the Board on the implementation of its policies in government and non-government schools.

Board Support

Board Support Branch is the unit which provides administrative support to the Board. The Branch has two sections: Committee Section and Services Section.

The Committee Section is responsible for providing full administrative and secretarial support to 8 Key Learning Area Coordinating Committees and

approximately 40 Syllabus Committees. The Section also services the Curriculum Committee.

The Services Section provides secretarial support to the Assessment and Credentials Committee and the Registration of Non-Government Schools Committee. It is also responsible for coordinating programs relating to student eligibility for the award of the School Certificate and Higher School Certificate.

Examinations and Certification

Provides administrative support for the planning, conduct, marking and processing of Higher School Certificate Examinations and School Certificate Reference Tests; collects and processes all entry and assessment data for the Higher School Certificate and School Certificate programs and maintains related student records; coordinates the production of all final certificates, Records of Achievement, and Results Notices for Years 10, 11 and 12; coordinates the Special Provisions, Illness/Misadventure Appeals and Appointments Programs; investigates appeals and possible anomalies arising from the School Certificate and Higher School Certificate Program.

Assessment and Systems

Assessment and Systems Branch produces all Higher School Certificate Examination and School Certificate Reference Test papers; provides technical and professional support to the Board, schools and the public on assessment and credentialling issues. The Branch also conducts research and statistical analysis of data, especially related to examination performance. This Branch also manages the Board's computer facilities including the development and operation of the systems. It provides advice and support to other

Branches in the area of computer application and development.

Policy and Planning

Policy and Planning Branch assists the policy development and planning activities of the Board of Studies. The Branch researches and writes papers on a wide range of policy and planning issues. It clarifies and interprets current Board policies, explores the implications of new policies and evaluates policies and practices of the Board. The Branch also advises the Board on a range of across-the-curriculum issues.

The Branch provides briefings, responds to correspondence and reviews reports on matters relating to the Board's responsibilities. Policy and Planning Branch provides advice to the Board's Liaison Officers, curriculum development officers and other support staff. It liaises with the Joint Secondary Schools/TAFE program and with other programs and agencies which relate to the work of the Board.

Communications

Communications Branch provides publishing, marketing, public relations and media services to the Board of Studies. The branch develops communications policies, programs and strategies to support the Board's corporate image, activities and initiatives.

Communications Branch develops and markets entrepreneurial ventures for the Board; runs a major publishing program including commercial publishing; handles the copyright functions of the Board; organises sponsorship projects, displays, exhibitions and special functions; manages the free distribution of printed material to all schools and the sale of publications to the public.

***‘Board of Studies’
liaison officers...
are local contact
officers...work
closely with
schools and their
communities’***

Communications Branch provides information and advice to students, schools, parents and the community through a variety of means including brochures, manuals, guides, newsletters and through personal, phone and written inquiries. Media strategies and liaison are handled through the Branch.

Board of Studies Liaison Officers

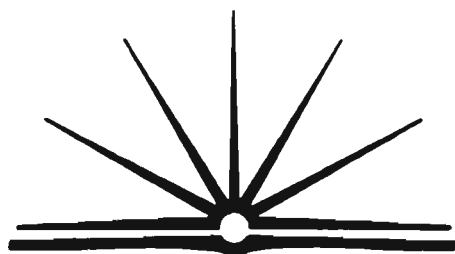
The Board of Studies operates a regional liaison service for schools

and the community through its Board of Studies Liaison Officers (BOSLOs). These officers represent the Board within regions and are local contact officers who work closely with schools and their communities on curriculum, assessment, credentialling, accreditation and registration of schools issues.

These officers are based in the 10 NSW education regions and provide advice and assistance to schools and colleges on the Board’s policies and procedures, and their implementation.



APPENDIX G3: CORPORATE PLAN OF THE
BOARD OF STUDIES, N.S.W. (1993)



BOARD OF STUDIES
NEW SOUTH WALES

BOARD OF STUDIES

CORPORATE PLAN

1993-1994

NSW BOARD OF STUDIES CORPORATE PLAN

MISSION STATEMENT

The Board of Studies has a leadership role in education. Within its charter the Board has a responsibility to guide and support all schools so they provide a quality education for the young people in their care in this State.

Therefore in the context of community expectations and resources, the Board of Studies:

- . develops courses of study in primary and secondary education and provides support for these courses;
- . determines and monitors curriculum requirements;
- . assesses and examines student achievements for the award of the SC and HSC;
- . recommends the registration of non-government schools and determines accreditation;
- . monitors the application of its policies in all schools.

STATEMENT OF PRINCIPLES

In all its work the Board of Studies:

- . seeks to provide leadership to the educational community in its areas of responsibility;
- . recognises that effectiveness, credibility, productivity and accountability are paramount;
- . provides excellence in its services to schools, students and other clients;
- . consults widely with schools, their communities, tertiary institutions and interest groups when implementing initiatives;
- . uses resources effectively with due care for the environment;
- . values challenges and responds to them with innovation, flexibility and creativity whilst having due regard to the importance of maintaining stable school environments;
- . manages the introduction of change sensitively and effectively;
- . emphasises a corporate identity;
- . bases its policies on recognised research;

- . takes cognisance of national and major world trends in education;
- . ensures that its curriculum and support documents meet the needs of the full range of students and the teachers of all students;
- . acts within and implements government policy.

CORPORATE OBJECTIVES

Objective 1: *Develop or endorse courses to meet the needs of the full range of students including those with particular needs, such as girls, students of diverse cultural and linguistic backgrounds other than English, students from situations of socio-economic disadvantage, Aboriginal students, students with special education needs, talented students and isolated students, in a changing social, cultural, economic and technological environment.*

The Board of Studies faces the major challenge of providing a curriculum for all students which is responsive to social, cultural, economic and technological change.

The Board will continue to monitor contexts relevant to syllabus provision, (eg population data, migration trends), to identify gaps in provision. This strategy will be particularly important in ensuring all students, particularly the broader range returning to Years 11 and 12, face a challenging, stimulating, innovative and diverse curriculum which addresses their current and future academic and vocational needs.

Through research and consultation with schools and interest groups, the Board of Studies will provide syllabuses and support materials which address the needs of students of differing backgrounds and abilities. The Board will monitor curriculum provision to ensure that it is adequate, effective and sufficiently diverse.

Mechanisms have been established to address equity issues in the development of syllabuses, support materials and publications.

Objective 2: *To develop or endorse courses and policies to ensure continuity of study from Kindergarten to Year 12 which provide curriculum links with early childhood education, tertiary and vocational opportunities.*

Key Learning Area Co-ordinating Committees have developed K-12 statements which are used to ensure all new syllabuses and current syllabuses (where necessary) offer continuity in the development of knowledge, understanding, skills, values and attitudes from Kindergarten through to Year 12.

Organisation of the curriculum into Stages 1-6, with statements of outcomes in syllabuses for the end of each stage, is resulting in a clearly articulated curriculum K-12. Such a clearly staged curriculum will allow all students flexible patterns of individual progression. Special attention will be paid to the critical years of change between primary and secondary schooling (Years 5-7) to ensure smooth transition for students.

The establishment of a K-12 Board of Studies acknowledged schooling as being a continuum. In addition, the Board believes students should be encouraged to see learning as a life-long pursuit. The importance of the formative years, especially in early literacy and numeracy development, is recognised by establishing links between early childhood education and Kindergarten when developing K-6 support materials and syllabuses. Similarly, the Board ensures its secondary syllabuses and support materials support the smooth transition to further study and the world of work.

Objective 3: To develop courses and policies which reflect the distinctive character and needs of education from Kindergarten to Year 6 as the foundation stages of the K-12 curriculum.

The Board believes the early years of schooling are crucial for students' later success and thus the early years are characterised by an emphasis on individual student development and learning. In view of this the Board places great importance on providing teachers and parents with ideas and advice on how children can be assisted in the transition from home to school and how parents can help their children at home.

The Board recognises the integrated nature of teaching and learning across the curriculum in primary schools and provides advice in its syllabuses and support materials about links with other areas.

Two representative reference panels with expertise in early childhood and primary education provide advice to the Board on all syllabuses, support documents and curriculum issues relating to Kindergarten to Year 6. To ensure that teachers, parents and the community have the opportunity to contribute in primary syllabus development process, the Board has held forums and meetings on particular issues and will continue to do so in the future.

Objective 4: To provide national leadership and contribute to national co-operation in matters of curriculum, assessment and credentialling.

The Board of Studies contributes to co-operative enterprises with other States, such as the national curriculum collaboration and the development of national syllabuses in some languages.

The Board has been actively involved in the development of National Profiles. NSW will also be playing a strong role in providing more information to employers, parents, students and the community on the achievements of students across the learning areas as well as in traditional subjects.

The Board has a commitment to improving the curriculum, assessment practices and credentials available to students in New South Wales. It believes that the syllabuses, support materials, assessment methods and other practices resulting from this endeavour should be shared where appropriate with other States.

Objective 5: *To provide credentials and structures which help students move into work, further education and life after school and which include multiple pathways such as part-time study and re-entry to education.*

Within the context of a broad, general education it is recognised that schools must provide students with knowledge, understanding, skills, values and attitudes relevant to work and life after school, as well as encouraging all students to seek further education beyond school. The Board of Studies is aware of the need to provide students with knowledge and skills which they can apply as citizens in the 21st century. To this end the Board has worked at building stronger links between its curriculum and credentials and Technical and Further Education, universities, industry, commerce and the world of work. Portability of credits with TAFE and universities will be a feature of this greater articulation.

The goals of encouraging excellence and promoting equity have brought about new approaches to curriculum and credentialling requirements. It is acknowledged that students have different needs and individual learning styles and that progression through the curriculum should be flexible to accommodate such differences. This brings with it individualised curriculum pathways for students including accelerated progression, part-time study and part-time work, portability of credits and multiple re-entry points.

Objective 6: *To provide useful, informative and portable credentials which meet the needs of the full range of students.*

The Board of Studies aims to provide all students with appropriate and comprehensive records of their achievements. It will maintain the quality of its credentials and records of achievements by:

- continuing a program of educational audit of its examination and assessment services and improving these as a result of the review process;
- reviewing its use of technology to facilitate delivery of examination and assessment services.

Negotiation and liaison with interstate authorities ensures the needs of mobile students are addressed. In this context the Board is aware of the need to respond to a national view on accreditation and other educational issues raised in the federal sphere.

Objective 7: *To apply and regularly review registration and accreditation procedures to ensure non-government schools comply with Board requirements*

A major role of the Board is to promote quality education in all schools. Registration and accreditation procedures are a means of fulfilling this function. Consultation with school systems and other interest groups ensures the processes used for registering and accrediting schools are supported by all involved.

The role of registering and accrediting non-government schools involves the Board and its inspectorate in guiding, supporting and assisting schools and school systems to develop and maintain effective educational programs.

Objective 8: *To provide materials for teachers, students and parents to support the Board's curriculum and assessment policies.*

Support materials are being developed for all new syllabuses and progressively for existing ones. These materials include print materials, videos and computer software. Support materials for the Board's assessment policies have also been developed. Contributions from schools, teachers and parent organisations assist the Board of Studies in developing such materials.

Materials are being developed to help parents to be more actively involved in the learning process and to assist their children with their studies, particularly in Years 11-12.

Objective 9: *To review its curriculum policies, programs and syllabuses on a regular basis and evaluate their effectiveness in schools.*

The Board of Studies undertakes regular evaluations and reviews of its policies and programs.

In undertaking reviews of its work the Board will continue to consult widely with schools, tertiary institutions, interest groups and the community.

The Board of Studies is actively concerned with maintaining the quality of its policies and programs. The Board encourages diversity and innovation while ensuring standards are maintained through careful monitoring and evaluation of its policies and programs. The Board passes on to teachers the ideas and good practices that it finds in schools, thereby fulfilling its responsibility for educational enhancement in both government and non-government schools.

Objective 10: *To present a positive community image, providing effective interaction with schools, students, parents, tertiary institutions, industry and community groups.*

Through interaction and consultation with parents, interest groups, the community and other educational institutions in both NSW and nationally, the Board of Studies will establish itself as a leader in curriculum and credentialling.

Effective communication strategies will foster the development of an organisation which is dynamic and effective in responding to schools and the community.

Objective 11: *Manage human and financial resources effectively and efficiently to ensure high quality service to schools and the community.*

The Board will monitor and enhance its staff efficiency and effectiveness through the implementation of a performance management scheme and annual Equal Employment Opportunity and Ethnic Affairs Policy Statement Strategies. The Board is also formulating a charter of service and is investigating the benefits of instituting opportunities for enterprise bargaining agreements.

Objective 12: *To support innovation and diversity in schools within the areas of the Board of Studies' responsibility and within the overall objective of enhancing quality and maintaining high standards in education.*

The Board will support innovation and diversity in schools with due regard to the responsibilities, organisation and operation of government and non-government schools. By supporting innovation and diversity the Board will fulfil its responsibility for educational enhancement for all schools. The Board's inspectors will play a key role in this and will ensure, through effective communication strategies, that the good practices found in schools are passed on to others.

CORPORATE STRUCTURE AND FUNCTIONS

The Board of Studies was established under the Education Reform Act (1990). The Board has responsibilities from Kindergarten to Year 12 in four main areas:

- . Curriculum
- . Credentialling
- . Support materials
- . Registration and accreditation of non-government schools.

MEMBERS OF THE BOARD

The Board of Studies has 23 members from a wide cross-section of educational and community groups. There are 19 appointed members, together with a full-time President and three ex-officio members. The ex-officio members are the Directors-General of School Education and TAFE, and the Executive Director of the Ministry of Education and Youth Affairs.

Nominees come from the following groups:

- . NSW Vice-Chancellor's Committee (1)
- . Council of the Federation of Parents and Citizens Associations of NSW (1 primary and 1 secondary school representative)
- . Catholic Education Commission of NSW (1)
- . Association of Independent Schools, Headmasters' Conference and Association of Heads of Independent Girls' Schools (1)
- . Independent Teachers' Association (1)
- . Catholic Education Commission of NSW and the NSW Parents' Council (1 parent of non-government school student)
- . NSW Council of Primary School Principals (1)

- . NSW Council of Secondary School Principals (1)
- . NSW Teachers Federation (1 primary and 1 secondary school teacher)
- . Early childhood education (1 person with knowledge and expertise)
- . Education of Aboriginal people (1 Aboriginal person with knowledge and expertise)
- . The Minister appoints, in addition, six persons with qualifications and experience to contribute to education in NSW. Two of these have expertise in the education of students with special education needs and students of non-English speaking backgrounds.

BOARD FUNCTIONS

The functions of the Board as specified in the Education Reform Act (1990) are:

- (a) to develop or endorse syllabuses and exercise its other functions under Part 3 (The School Curriculum);
- (b) to provide advice and make recommendations to the Minister about the registration of non-government schools under Part 7;
- (c) to accredit registered non-government schools under Part 8;
- (d) to grant the recognised certificates;
- (e) to prepare and distribute to schools information relating to the courses of study for candidates for the recognised certificates, and information relating to eligibility to be granted those certificates;
- (f) to prepare and make available to schools curriculum support materials;
- (g) to develop or endorse courses of study that are appropriate for students (including candidates for the recognised certificates) who wish to continue at or return to school after the normal school-leaving age (including on a part-time basis);
- (h) to develop or endorse, in consultation with the Director-General of Technical and Further Education, courses of study that will enable school students to be granted credits by colleges within the meaning of the Technical and Further Education Act 1974;
- (i) to make such arrangements as may be necessary for the conduct of examinations or other forms of assessment for candidates for the recognised certificates and to regulate the conduct of those examinations or other forms of assessment and the recording of candidates' achievements in them;
- (j) to prepare and distribute to schools information relating to the conduct of examinations and other forms of assessment for candidates for the recognised certificates;
- (k) to recognise, for any of the purposes of this Act, educational attainments

obtained at educational institutions outside New South Wales;

- (l) to provide advice and guidance to schools concerning the policies and practices of the Board;
- (m) to provide advice and assistance to students, employers and the public concerning the nature and content of courses of study for the recognised certificates (and the assessment and reporting of candidates' achievements in those courses);
- (n) to monitor, by inspection of schools and otherwise, the application of its policies in schools;
- (o) to arrange for the development of appropriate curriculum resources and other material to assist in the education of school students with an Aboriginal background;
- (p) to develop curriculum resources for use in the teaching of Aboriginal studies (including Aboriginal history and culture);
- (q) to promote the provision of education in schools that adequately equips students to acquire a vocation and for their life in the community;
- (r) to advise the Minister in relation to the following matters:
 - (i) any changes to the requirements of Part 3 that the Board considers appropriate;
 - (ii) the functions of the Minister under Part 4;
 - (iii) whether changes should be made in the number or type of recognised certificates;
 - (iv) the likely impact of any change in the Board's policies (particularly in relation to courses of study) on the overall planning, allocation or use of educational resources in New South Wales;
 - (v) special arrangements for students with disabilities, including the approval of special courses of study, the modification of requirements for the grant of the recognised certificates and the grant of special records of achievement;
 - (vi) any matter in relation to which the Minister requests the Board's advice.

OPERATIONS OF THE BOARD OF STUDIES

The Board operates through a standing committee structure with committees performing particular roles.

Standing committees make recommendations to the Board with the full Board meeting monthly to consider these.

The Curriculum Committee primarily oversees the implementation of the Board's model for syllabus development from Kindergarten to Year 12 and endorses/approves courses.

The Assessment and Credentials Committee considers assessment and examining issues especially in relation to the School Certificate and Higher School Certificate.

The Planning Committee considers matters concerning the long-term planning and policies of the Board.

The Registration Committee considers matters in relation to the registration and accreditation of non-government schools.

Three groups of Committees also assist the Board in fulfilling its curriculum responsibilities. These are:

- . Reference Groups in the areas of Primary curriculum, Special Education, Early Childhood, Industry Studies and Aboriginal Education;
- . Key Learning Area Co-ordinating Committees (KLACCs) which advise on matters in each of the 8 Learning Areas, and
- . syllabus committees (for K-6 and 7-12) who have syllabus development functions.

BOARD STAFF

The Board is supported in its work by staff from the Public Service and Teaching Service. The Board has a Code of Conduct which establishes standards of professional behaviour expected of the Board's staff. The Code was developed to assist personnel in clarifying their professional and ethical responsibilities. After being developed by a representative committee, it was endorsed by the full staff before being published in the Board's 1991/1992 Annual Report.

The staff of the Board consists of six branches each with specific functions.

Curriculum

This Branch is responsible for the development of syllabuses and curriculum support materials for all Key Learning Areas, Kindergarten to Year 12. The Branch is also responsible for the registration of non-government schools and of children for homeschooling. It provides administrative and secretarial support to the Board, its standing committees and advisory committees and 53 syllabus committees. The Branch provides curriculum advice and expertise for all schools and advises the Board on the implementation of its policies in government and non-government schools. The Board's ten inspectors are located within this Branch.

Assessment and Systems

Assessment and Systems Branch produces all Higher School Certificate examination and School Certificate Reference Test papers and provides technical and professional support to the Board, schools and the public on assessment and credentialling issues. The Branch conducts research and statistical analysis of data, especially related to examination performance and provides technical support to the marking operations. This Branch also manages the Board's computer facilities including the development and operation of the various systems. It provides advice and support to other Branches in the area of computer application and development.

Examinations and Certification

The Branch provides administrative support for the planning, conduct and marking of Higher School Certificate examinations and School Certificate Reference Tests; collects and processes all entry and assessment data for the Higher School Certificate and School Certificate programs, and maintains related student records; co-ordinates the distribution of all certificates, Records of Achievement, and Result Notices for eligible students; co-ordinates the Special Provisions, Illness/Misadventure Appeals and Appointments Programs; investigates appeals and possible anomalies arising from the School Certificate and Higher School Certificate Programs.

Policy and Planning

Policy and Planning Branch assists the policy development and planning activities of the Board of Studies. The Branch researches and writes papers on a wide range of policy and planning issues. It clarifies, interprets and evaluates current Board policies and explores the implications of new policies and practices. The Branch also advises the Board on a range of across-the-curriculum issues.

The Branch provides briefings, responds to correspondence and reviews Reports on matters relating to the Board's responsibilities. Policy and Planning Branch provides advice to the Board's Liaison Officers, curriculum development officers and other support staff. It liaises with the Joint Secondary Schools/TAFE unit and with other agencies which relate to the work of the Board.

Communications

Communications Branch provides publishing, public relations and media services to the Board. It develops communications policies, programs and strategies to support the Board's corporate image, activities and initiatives, runs a major publishing program, organises sponsorship projects, displays, exhibitions and special functions and manages the free distribution of printed material to all schools.

Communications Branch provides information and advice to students, schools, parents and the community through a variety of means including brochures, manuals, guides, newsletters and also personal, phone and written inquiries. Media strategies and liaison are handled by the Branch.

Product Development and Marketing Group

The Group was established in December 1991 to enable the Board to broaden its marketing activities. It develops and markets entrepreneurial ventures, handles the copyright functions of the Board and organises sponsorship projects and special functions. The range of new products developed by the group includes computer assisted software, teaching kits and guides for students for the HSC. This Branch is also responsible for the Board's international initiatives.

Research

The Board has a Chief Project Officer whose duties involve research and development activities and a Librarian who collects, co-ordinates and disseminates information for the Board and its staff.

Board of Studies Liaison Officers

The Board of Studies operates a regional liaison service for schools and the community through its Board of Studies Liaison Officers (BOSLOs). These officers represent the Board within regions and are local contact officers who work closely with schools and their communities on curriculum, assessment, credentialling, accreditation and registration of schools issues.

These officers are based in the 10 NSW education regions and provide advice and assistance to schools and colleges on the Board's policies and procedures, and their implementation.

Corporate Services Unit

This unit was established in July 1991 to provide financial, management and administrative services for both the Ministry of Education and Youth Affairs and the Board of Studies.

Administration Branch is responsible for providing executive support, co-ordinating and managing general office administration such as personnel matters, recruitment, Freedom of Information, receipt and dispatch of mail, stores, motor vehicles, issuing past copies of School and Higher School Certificates, assessing and granting overseas qualifications equivalence to NSW Certificates and the maintenance of records and files.

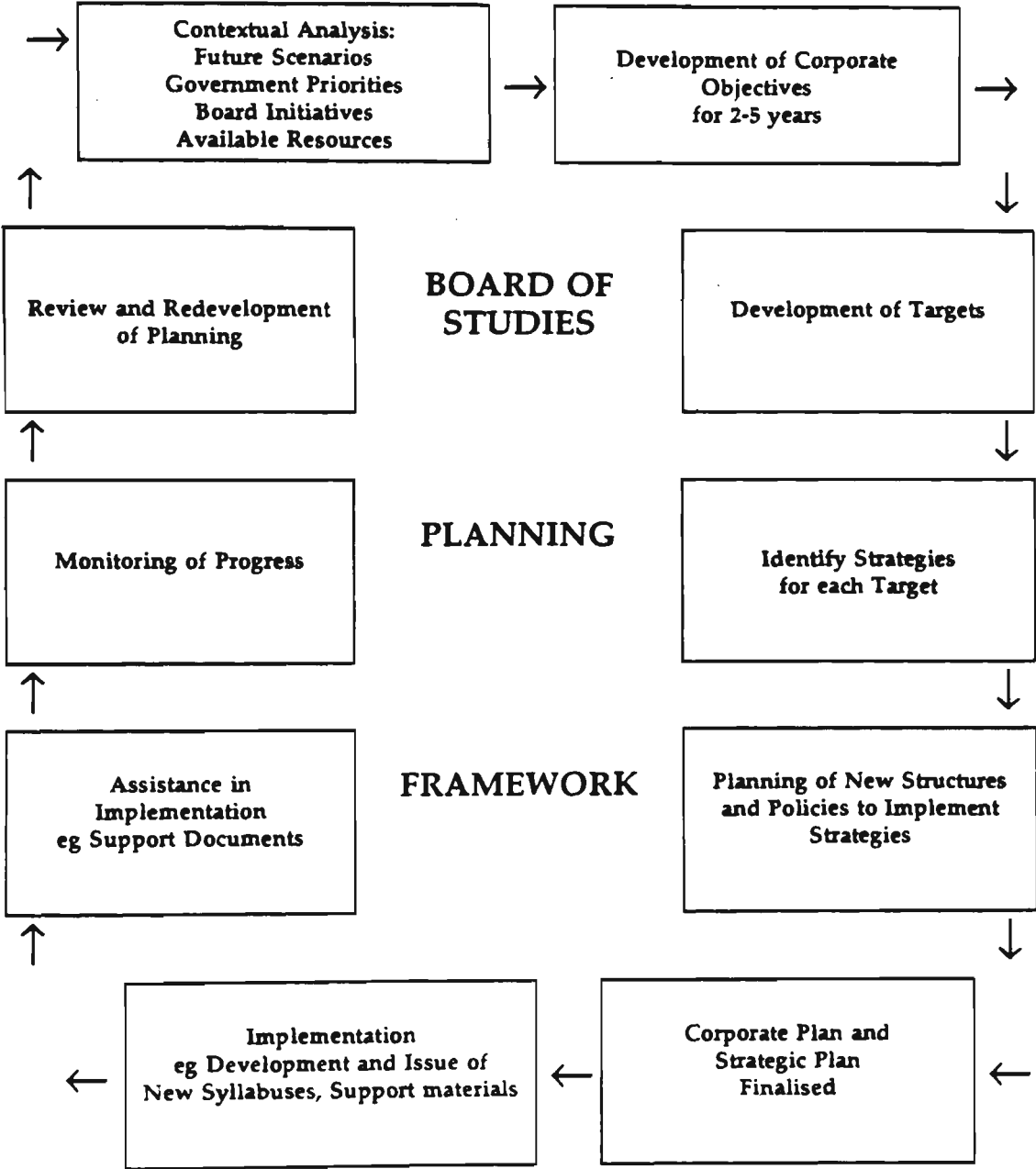
Finance Branch is responsible for management of the Board's budget allocations and cashflow reporting. It organises payment of examination presiding officers and supervisors, examination markers, seasonal clerical staff, committee members and miscellaneous accounts. The branch also receipts and banks remittances and maintains a petty cash float.

THE BOARD'S PLANNING PROCESS

The Board operates to a yearly planning cycle. Each year a new Strategic Plan is developed setting out targets and action to be taken over a 12 month period to implement the Corporate Plan objectives.

The planning is done by the Board and senior staff in a series of planning sessions in which progress on meeting targets is reviewed and new targets and strategies are formulated for the coming year.

Each Branch of the Board has a Management Plan linking it to the Board's Strategic Plan. The Management Plans provide initiatives and target dates for implementing the Strategic Plan and form the basis for review of Branch Managers' performance. A diagram of the Board's planning process is set out on the following page.



APPENDIX G4: STRATEGIC PLAN OF THE BOARD OF STUDIES, N.S.W. (1991)

CORPORATE OBJECTIVE 1:

Develop or endorse courses to meet the needs of the full range of students in a changing social, economic and technological environment.

TARGETS

By 1993 the Board will have completed its review of all key learning areas to ensure that there are courses appropriate for a full range of students.

STRATEGIES

- . KLACCs to advise the Board on gaps in provision.
- . Board to establish priorities for development of new syllabuses and revision of existing syllabuses.

Board staff to provide the Board with reports, at least annually, on contexts relevant to syllabus provision (eg ethnicity, socio-economic trends) and policy development.

By 1993 the Board will have developed or endorsed additional courses to cater for the broader range of students in Years 11/12.

- . The Board will determine its policy on 1 Unit courses and their relationship to other units.
- . KLACCs will report to Board on gaps in provision for Years 11-12 students.
- . The Board will establish priorities and ensure development of new courses or revision of existing courses.

By 1992 the Board will have determined its requirements for the study of elective courses and review the range of elective courses offered in each KLA.

- . KLACCs will advise Board regarding patterns of elective study in their KLA.
- . KLACCs will review elective courses in their KLA in light of Board decisions on requirements for elective study.

From 1991 the Board's syllabus writers will focus on developing in students the skills of literacy (reading and writing) and numeracy to the highest possible level and incorporate the skills of thinking, planning, co-operating, communicating, organising, problem solving into all syllabuses.

- . Inclusion of requirement in the guidelines for syllabus development.
- . Board's subject officers to ensure appropriate consideration during syllabus development process and an emphasis on these skills in all curriculum support materials.

By 1996 the Board will have in place all the syllabuses required by Excellence and Equity.

- . General Manager, Curriculum will initiate and monitor progress.
- . Details of syllabuses completed and progress report on those under development to be included in Annual Report.

TARGETS

By 1992 the Board will have developed a conceptual framework on its approach to vocational and general education.

STRATEGIES

- . Board to commission research papers on current provisions, school initiatives and interstate approaches to academic/vocational aspects of a broad, general education.
- . Board to develop a public policy statement on academic/vocational aspects of education.

By 1996 to respond to increased retention in 15-18 age bracket the Board will offer a wide range of courses for post-compulsory schooling with cross-accreditation.

-
- . Board to commission research project sampling students in 15-18 age group and their teachers to establish gaps in this area of the curriculum.
 - . Board to research inter-state developments in this area and develop action plans.
 - . Board will hold discussions with TAFE, tertiary institutions and industry.
 - . BOSLOs will provide annual report on OAS, content-approved and school course offerings in their region and will identify courses which should be developed as content-approved courses.
 - . OAS provision to be consolidated.
 - . Board to develop new courses as required.
-

CORPORATE OBJECTIVE 2:

Develop or endorse courses and policies to ensure continuity of study K-12 and to promote education as a continuum.

TARGETS**STRATEGIES**

From 1991 all syllabuses will be developed within a K-12 perspective.

- . KLACCs to develop KLA Framework Statements K-12.
- . Subject officers and inspectors to advise syllabus writers on drafting syllabuses within a K-12 perspective.

By 1995 all courses will be redeveloped to ensure continuity of study K-12.

- . Subject officers in consultation with KLACCs and syllabus committees to undertake a 'mapping' exercise of those courses which are not offered across all years to ensure continuity in development of skills, knowledge, etc.

By 1991 the Board will have in place a program to increase its credibility in K-6.

- . In liaison with Systems, the Board will plan and implement quality support materials for K-6 syllabuses.
- . The Board's staff will be given detailed familiarisation K-6.
- . The Board will organise Regional Forums on K-6 issues.
- . Primary Curriculum Reference Group to suggest initiatives.
- . President to ensure that the Board's staff and resources are appropriate to the task of providing adequate support for K-6 as well as 7-12.

By 1991 the Board will have developed clear guidelines for syllabus writers on what constitutes 'Student Outcomes' and will have provided acceptable examples.

- . To be included in the guidelines for syllabus development used by syllabus writers.
- . Board subject officers to assist syllabus writers in developing appropriate outcomes.
- . Revision of guidelines when necessary to accommodate improvements in approaches to writing outcomes.

From 1991 all syllabuses K-12 will include statements of outcomes for the stages in the course.

- . New syllabuses to include outcomes.
- . Current syllabuses to be reviewed with view to either
 - appending outcomes to syllabus
 - completely re-writing syllabus.

TARGETS

STRATEGIES

By 1993 a review will be conducted of the effectiveness of the Stage 1 outcomes to ensure they are identifying students who are talented or experiencing learning difficulties.

- . Research project to be conducted into effectiveness of outcomes especially for exceptional students.

By 1992 the Board will increase the number of Board endorsed courses developed in conjunction with TAFE and offer Board-endorsed courses developed by institutions other than TAFE.

- . Board to continue to liaise with TAFE to develop Board-endorsed courses in appropriate vocational areas.
- . Board to develop policy on provision of Board-endorsed courses by other institutions.
- . Negotiations with industry and other training institutions.

By 1992 the Board will include in its courses a greater emphasis on the study of Australia, Asia and the Pacific region.

- . Inclusion of this emphasis in guidelines for syllabus development.
- . Subject officers to assist syllabus writers when considering this emphasis.

By 1992 the Board will include study of tourism in the curriculum, will provide JSST/courses related to the hospitality industry and will increase its provision of courses in LOTES (especially Asian).

- . LOTE KLACC advise the Board regarding gaps in provision of courses in Asian languages.
- . HSIE KLACC and TAS KLACC to advise the Board on ways of including tourism and hospitality courses in their KLAs.

CORPORATE OBJECTIVE 3:

Review its policies, programs and syllabuses on a regular basis.

TARGETS

By 1992 the Board will have established procedures for review of the adequacy of curriculum to meet the needs of the full range of students.

From 1992 the Board will have in place procedures to monitor its courses at all levels to ensure they are in line with demands for skills which serve the long-term interests and needs of

- . the students
- . the economy
- . the society.

By 1992 the Board's quality control mechanisms will have significantly improved OAS course offerings and administration procedures.

STRATEGIES

- . KLACCs to report on adequacy of provision in their KLA.
- . Board to hold discussions with key interest groups and to survey schools.
- . New courses and course revisions to be undertaken when appropriate.
- . Board will examine as part of its review the structure and patterns of courses required K-12, ie the balance and relevance of mandatory requirements.
- . The Board will review its procedures for syllabus evaluations to ensure all evaluations address the issue of whether syllabuses continue to meet student needs.
- . The Board will ask all KLACCS to review subjects in their area to ensure they are consistent with the Board policy on vocational education.

- . The Board will monitor social, economic and technological changes through papers produced by its staff and respond as appropriate.

- . From 1991 the Board's Curriculum Unit will monitor new technologies and advise on their implications for the curriculum and assessment practices.

- . Manager, Curriculum & Registration on the advice of the Curriculum Unit will provide six monthly reports on this issue.

- . Review of current guidelines for OAS course development.

- . New guidelines to be a focus of BOSLO work in schools (eg workshops, staff development days).

TARGETS

STRATEGIES

By 1994 most syllabuses will be structured to accommodate change in the short-term without requiring a complete syllabus re-write.

- . Board to encourage syllabus writers to exploit syllabus structures which accommodate change.
- . Curriculum Unit to give advice on potentially useful structures.

By 1992 the Board will have identified more flexible effective methods of syllabus development to meet deadlines without a diminution in the quality of syllabuses, loss of public credibility or ownership by those implementing the syllabus.

- . Curriculum Committee will continue to provide a quality control mechanism for all new syllabuses.
- . Board to review its consideration of syllabuses to minimise time lost during approved process.
- . Syllabus Committees will be admonished to produce syllabuses in effective timeframes.

By 1994 the Board will have reviewed its provision for outside subjects.

- . Review of current provisions and identification of future needs.
- . Consideration by Board of problems which arise from current provisions and how these can be addressed in the future.

By 1995 the Board will review all language courses to ensure that they are appropriate to the full range of students with the possible exception of students with intellectual disabilities.

- . LOTE KLACC to review language offerings especially in context of mandatory 100 hours of study 7-10 and implications for:
 - talented students
 - isolated students
 - aboriginal students
 - students with learning difficulties
 - students from NESB.

CORPORATE OBJECTIVE 4:

Provide courses which facilitate transition to work, further education and the post-school environment.

TARGETS

By mid 1991 the Board will seek discussions with Universities regarding the eligibility of vocational courses for tertiary entrance.

STRATEGIES

- . President to meet regularly with Chairs of Academic Boards to present background on new HSC courses.
- . More active liaison with tertiary institutions.

By 1993 the Board will ensure the curriculum include significant emphasis upon links with the work environment.

- . Paper to be prepared for the Board on the place of the work environment in the curriculum. To be considered in conjunction with policy on academic/vocation aspects of a broad, general education and courses for senior students seeking tertiary study or vocational education and training outside the university sector.

By 1993 the Board will offer students patterns of study allowing part-time work/part-time study.

- . Draft policy to be developed within content of review of HSC patterns of study and structures.
- . Extensive school and community consultation to take place.
- . Policy to be implemented and reviewed after two years of operation.

By 1993 the Board will have established a means for selected secondary courses to be accredited with TAFE.

- . Working party of the Board and TAFE officers to be convened to examine issue.
- . Identification of limited number of courses for an initial step.
- . Review before expansion of initiative.

By 1992 the Board will have considered the nature of industry training and its place in its courses.

- . Consideration of MTIA evaluation report.
- . Advice from TAS KLACC and appropriate officers from TAFE.
- . Discussions with industry training providers.

CORPORATE OBJECTIVE 5:

Develop flexible progression patterns to address the needs of all students, including multiple pathways such as part-time study and re-entry to education.

TARGETS

From 1991 the Board will facilitate re-entry to schooling.

By 1992 the Board will research pathways undertaken by students on exit from secondary schools including students in special classes from secondary schools and schools for specific purposes.

By 1992 the Board will provide a context which will enable students to proceed through the curriculum on the basis of flexible progression.

By 1992 the Board will have achieved advanced standing for its distinction courses at Universities.

STRATEGIES

- . Review of current rules.
 - . Research project into re-entry provisions interstate and overseas.
 - . Research project into mature-age students undertaking HSC to establish needs and improvements in re-entry provisions.
 - . Development and implementation of proposals.
-
- . Major research project on pathways on exit from schools (to include previous work on mature-age re-entry). Longitudinal study over 5 years to monitor impact in changes of provision, socio-econ-political change.
-
- . To be considered in context of the Board's review of curriculum structures and organisation.
 - . To be the basis of consultation with schools and community in first part of 1991.
 - . Development of appropriate rules for SC & HSC.
-
- . Joint-working party of the Board/tertiary institutions will address issues of the nature of distinction courses and proposals for advanced standing/credit.
-

CORPORATE OBJECTIVE 6:

Provide useful, informative and portable credentials which meet the needs of the full range of students, through a process of review of existing assessment and examination procedures.

TARGETS

By 1993 the Board will have finalised procedures for the granting of certificates which meet the needs of the whole range of students, including students with disabilities.

By 1993 the Board will have achieved consistency between the Records of Achievement at the SC and HSC levels ensuring a single comprehensive record of achievement.

By 1992 the Board will have ensured a coherent sequencing of the requirements of the SC and HSC in terms of the Key Learning Areas.

By 1992 the Board will have reviewed its eligibility rules for the SC and HSC for students from overseas. This will be done within the context of flexible progression.

From 1991 the Board will research the nature of demographic changes and consider the implications of these findings for curriculum examining, and assessment.

By 1992 the Board will have reviewed its SC and HSC rules on students affected by long-term illness.

STRATEGIES

- . Review and re-writing of SC and HSC rules.
- . As part of Board's Special Education plan, determine appropriate credentialling for students with disabilities.
- . Undertake extensive consultation with interest groups.

-
- . Review of credentials by all Branches of Board to cover issues such as
 - information required
 - courses to be included
 - quality presentation
 - accessibility to community.

-
- . Re-writing of rules in terms of KLAs.
 - . Development of procedures for accessing information to be placed on certificates.

-
- . Report to be prepared for the Board on issues of eligibility for overseas students. This report is to seek input from
 - Intensive language centres
 - Immigration Dept
 - Schools with high migrant populations
 - Other interest groups.

-
- . Research project on demographic changes to Year 2000 with implications of these changes on curriculum examining/assessment provisions, procedures and accommodation.

-
- . Review of current provision.
 - . Research on types and affects of long-term illnesses and implications for study.
 - . Develop proposals.
 - . Board determines new rules.
-

TARGETS

From 1991 the Board will undertake a program of educational audit on all aspects of its assessment and examination procedures.

From 1991 the Board will undertake regular reviews of the technology available to facilitate assessment and examination services.

By 1993 the Board will have reviewed options and economies for preparing and distributing candidate entries and other materials by computer links.

The Board will continue to negotiate with interstate authorities regarding comparability of achievement.

By 1992 the Board in consultation with other states, will have developed a common framework for determining equivalence of HSC and other credentials.

STRATEGIES

- . Educational audit proposals to be developed.
- . Programs of investigation and consultation.
- . Development of reports for consideration by the Board.
- . Implementation of improvements in assessment and examination procedures.

- . Development of review procedures.
- . Reports for Board consideration.

- . To be considered as part of report to the Board on examining technology.

- . Regular meetings of Executive Officers of interstate authorities.
- . President's attendance at ACACA meetings.

- . NSW responsible for regular up-dating of ACACA publication 'Leaving School 1990' and its own publication 'An employer's guide to credentials'.

CORPORATE OBJECTIVE 7:

Establish effective mechanisms for the evaluation of its policies and programs in government and non-government schools.

TARGETS

By mid 1992 the Board will determine guidelines for monitoring its policies in government and non-government schools.

STRATEGIES

- . Guidelines to be developed for implementation by the Board inspectors.
- . Consultation on these guidelines.
- . Inspectorial visits to sample of schools to monitor application of the Board policies.
- . Aggregated results reported in the Board's annual report and to be aspect of the Board's future planning.

In 1993 the Board will have conducted evaluations of at least 2 major areas of its policies across government and non-government schools (eg teaching about technology; success of JSST program).

-
- . Determination of policy areas for major evaluation.
 - . Evaluation of implementation of new syllabuses (ie Design & Technology, Japanese for native-speakers, PD/Health/PE).
-

CORPORATE OBJECTIVE 8:

Establish a positive community image, providing effective communication to schools, parents, tertiary institutions, industry and community groups.

TARGETS

During 1991 the Board will undertake a program of initiatives to foster a positive image in the community.

STRATEGIES

- . Communications Branch to develop a Board 'image' action plan, covering all target groups.
- . Communications Branch to seek positive media coverage.

During the first part of 1991 the Board will undertake initiatives to involve parents, teachers, students, tertiary personnel, employers and the community in the changes brought about by the Board with a view to gaining support and commitment from these groups.

- . Issue of Discussion Document in March and program of public meetings to discuss it.
- . Individual Board members to take opportunities to relate their position on the Board to their other activities.
- . Regular community/interest group forums on particular issues.
- . Seminars and conferences for employers.
- . Regular liaison with tertiary institutions

From 1991 the Board will communicate clearly its programs, plans and anticipated changes to schools, parents, employers and the community especially in relation to:

- . eligibility for certificates
- . educational outcomes
- . examination results
- . assessment issues
- . syllabus requirements
- . SC and HSC rules
- . registration/accreditation of non-government schools
- . controversial set texts/topics.

- . Revise and up-date ACE Manual.
- . Plain English for publications.
- . Determine distribution policy.
- . Development of publications plan.

By 1992 the Board will provide information to assist students, teachers, parents, employers and the community generally, to understand the use of outcomes in curriculum implementation.

- . Development of publications for various target audiences.
- . BOSLOs to conduct workshops, staff development days on outcomes.

By 1992 Board publications for the community will be available in languages other than English.

- . Key aspects of publications to be available in community languages.

By 1992 the Board will have undertaken a review of the extent to which it can provide bulletin board and data transfer facilities including discussions with DSE and other agencies.

- . Feasibility study to be conducted, including input from DSE concerning use of OASIS network.

TARGETS

From 1991 nomenclature on forms will accommodate the variety of family units.

STRATEGIES

- . Review of all forms to make them sensitive to variety of families and other social issues.

The Board will continue its close contacts with teacher training institutions.

- . Establishment of regular meetings with teacher training institutions to inform them of current developments.
- . Participation in Ministry's proposals as outlined in "Teacher Education - Directions and Strategies".

By 1992 Schools and Board Liaison Officers (in regions) will be linked to the Board's OAS/School Course/JSST data-base giving immediate access to course information.

- . Determine existing database facilities; identify future needs; investigate costs and determine cost/benefits.
- . Provide action plan.

By 1991 the Board will have established a 'user-pays' policy in certain areas having due regard to issues of equity.

- . Development of the Board policy on distribution of publications and services.

By 1992 the Board will market its credentials and other educational services with a special focus on Asia and the Pacific.

- . Preparation of brochures and other materials for overseas.
 - . Direct registration with overseas authorities already expressing interest.
 - . Active marketing in overseas capitals.
-

CORPORATE OBJECTIVE 9:

Establish registration and accreditation procedures to ensure compliance with Board requirements.

TARGETS

By 1992 the Board will have completed the development of its policies for registration and accreditation and will have established strategies for regular review of its registration and accreditation policies.

STRATEGIES

- . The Board to develop draft statement of policies and procedures.
- . Draft to be distributed for broad consultation among non-government schools.
- . Forums to be held to clarify issues and expand consultation.
- . Policy distributed to schools when finalised.
- . Review of policy annually.

By 1992 the Board will have established administrative procedures to facilitate the formation of systems of non-government schools for registration/accreditation purposes.

- . The Board to include procedures for registration by systems when developing its policy on registration/accreditation.
- . Consultation with systems on the nature of the proposals.

By 1993 inspectorial visits to schools will focus on provision of curriculum/credentialling advice and support as well as registration requirements and monitoring Board policies.

- . Develop training and in-service program for Board inspectors.
-

CORPORATE OBJECTIVE 10:

Ensure the provision of appropriate curriculum and support materials for children with special needs including talented students, students with disabilities, Aboriginal students, isolated students, students from non-English speaking backgrounds, and students from socio-economic situations of disadvantage.

TARGETS**STRATEGIES**

By 1992 the Board will adopt a 5 year action plan aimed at providing full access and equity for aboriginal students.

- . Establish task-force of Board members and interest groups to develop action plan for the Board's consideration.

By 1992 the Board will have provided the first stage of appropriate courses of study and support materials to meet the needs of Aboriginal students and increase knowledge and understanding of Aboriginal issues among all students.

- . The Board to develop policy on Aboriginal Studies and as a cross-curriculum perspective.
- . Development of support materials including the first in a series of course materials for teachers of Aboriginal students K-6.

By 1991 support materials will be developed by the Board for the Aboriginal Studies Year 11 and 12 syllabus.

- . To be developed by working party of syllabus committee in liaison with Aboriginal Education Unit of DSE.
- . HSIE inspector to monitor and report on implementation of materials and their suitability.

Close formal links with the AECG and other associations will continue.

- . Regular meetings with AECG and other Aboriginal interest groups.

By 1992 the Board will initiate a project to promote curriculum for Aboriginal students early childhood to Grade 3.

- . Negotiation with interest groups to identify an appropriate initiative.
- . Development of proposals and feasibility study.

By 1992 the Board will implement its Special Education Plan providing curriculum guidelines, support materials, credentialling and special provisions for students with disabilities.

- . Development of plan.
- . On-going consultation with interest groups.
- . Report on Special Education to be included in Annual Report.

By 1993 all Board-developed and Board-endorsed courses will contain advice to teachers on meeting the needs of students of NESB.

- . Include in guidelines for syllabus development.
- . Subject officers to provide advice to syllabus writers on including this in syllabuses.

By 1994 the Board will have no inappropriate barriers to provision of courses to isolated students ensuring equal access.

- . Curriculum Committee to ensure all syllabuses are appropriate for isolated students.
- . The Board to liaise with Distance Education of DSE regarding current developments.

CORPORATE OBJECTIVE 11:

Ensure that its curriculum links closely with that of early childhood education and tertiary opportunities.

TARGETS

In 1991 the Board will continue to consult with early childhood education authorities with a view to establishing strategies to achieve greater articulation between early childhood education and K-10 schooling.

STRATEGIES

- . Establish Early Childhood Working Party to identify issues for the Board's consideration.
- . Working Party to produce report and recommendations for the Board's consideration.

By 1993 the entry point for K-6 syllabuses will have regard to the early childhood experiences of the student in pre-schools and in the home.

-
- . All K-6 syllabus development to include input from early childhood experts.

In 1991 the Board will continue to review all policies and programs that relate to opportunities for students to pursue a range of options for further study in the tertiary sector, including vocational education and training.

-
- . Planning Committee to identify issues/policies/programs to be reviewed.
 - . Board staff to review and provide reports to Board.
-

CORPORATE OBJECTIVE 12:

Ensure that its policies and syllabuses take account of gender issues.

TARGETS

By mid 1991 the Board will have a policy on curriculum content, organisation and learning strategies to accommodate interests of girls and reflect women's contribution to society.

By 1991 the Board will have a policy on the education of boys and girls particularly in the non-traditional areas.

By 1991 all curriculum development processes will include informed consideration of gender issues.

STRATEGIES

- . The Board to develop policy on gender issues.
- . The Board inspectors and subject officers to review all syllabuses in their KLA to ensure implementation of the policy.
- . The Board to include on its staff a person with expertise in gender equity issues.

- . The Board to include education of boys/girls in non-traditional areas as aspect of policy on gender issues.
- . All new syllabuses in 'non-traditional' areas to include statements on gender equity in the introduction to the syllabus.

- . The Board inspectors and subject officers (especially in PD/Health/PE KLACC and TAS KLACC) to provide advice to syllabus writers in implementing the policy on gender equity.
- . Guidelines for syllabus development to include consideration of the Board policy on gender equity.

CORPORATE OBJECTIVE 13:

Support its curriculum with appropriate materials for teachers and parents, and provide mechanisms/opportunities for educational enhancement across all NSW schools.

TARGETS**STRATEGIES**

By 1991 the Board will issue with each of its syllabuses any necessary support materials to enable teachers to program syllabuses effectively and to inform parents about the syllabuses.

- . Establish policy on development of support materials.
- . The Board will explore range of ways of commissioning the development of support materials.
- . Financial statement to be prepared for all projected support materials.
- . Board to establish close links with Professional Teachers Associations.

By 1992 the Board will have established itself as a clearing-house for ideas and documents on curriculum, assessment and credentialling.

- . The Board to establish 'clearing-house' procedures.
- . Board to establish dissemination procedures.

From 1991 the Board will seek support and advice from industry for the development of courses and support materials in the technology and applied studies area.

- . The Board to negotiate preparation of support materials.

From 1992 the Board's support materials should emphasise ways of using modern technology to disseminate the curriculum.

- . To be included in advice to writers of support materials.

From 1991 the Board will provide a continuing program of educational enhancement.

- . Development policies for use of Board Inspectors in monitoring in such a way as to stress educational enhancement.
- . Implement a program based on these policies.

CORPORATE OBJECTIVE 15:

Support innovation and diversity in schools within the areas of the Board's responsibility and within the overall objective of enhancing quality education.

TARGETS

By 1992 the Board will have in place mechanisms to fulfil its responsibility for educational enhancement in both government and non-government schools.

From 1991 the Board's standing committees and staff will be conscious of the need to support innovation and diversity where appropriate.

From mid 1991 the Board's staff will maintain a register of innovative ideas in curriculum, accreditation and registration. These ideas are to come from overseas as well as within Australia.

By 1992 the Board will have established mechanisms to share innovative ideas with government and non-government schools.

STRATEGIES

. Inspectorate to support innovation and diversity in schools and to pass on good practice to others.

. Board inspectors to report upon innovations for collection on the Board's data base.

. Within the context of available resources the Board's staff will undertake regular literature searches and reviews.

. Forums to be held on particular innovative issues for government and non-government schools as these arise.

. Communications Branch to develop strategies to disseminate information on good practices and innovations to all schools.

CORPORATE OBJECTIVE 16:

Provide national leadership and contribute to national co-operation in matters of curriculum, assessment and credentialling.

TARGETS

By 1994 the Board will have developed and endorsed national courses in small candidature languages including Korean as part of the NAPLSSL project.

From 1992 the Board will participate in national curriculum collaboration exercises under the auspices of the ABC.

From 1992 the Board will make available for sale to all Australian states and territories its syllabuses, support materials, teaching kits and examinations.

The Board will continue to take a proactive role in ACACA.

STRATEGIES

By 1992 the Board will have developed Years 7-10 and 2UZ syllabuses in Korean with support from the Asian Studies Council to be available for all Australian schools.

By 1994 the Board will have developed 2/3 unit syllabuses and assessments in Korean for both native and non-native speakers. It will have developed support materials and teaching kits in Korean available for use in schools throughout Australia.

Board's Curriculum Unit to co-operate with Asian Studies Council and NAPLSSL project.

Board's Communications Branch to function as a publishing house for Korean syllabuses and materials for the whole of Australia.

Board to establish itself as the national assessment/examining authority for Korean.

Continued co-operation with other states in the production of the NAPLSSL syllabuses.

Board's Curriculum Unit to co-operate with national project in Korean for development of syllabuses and assessments.

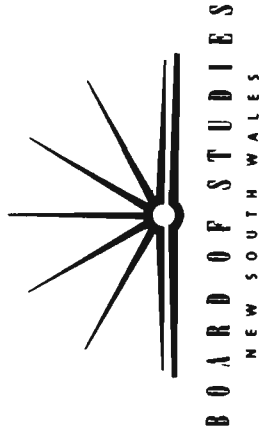
Examining/assessment of those small candidature languages for which NSW is responsible.

Officers in Curriculum Unit to co-operate in collaboration exercises.

Communications Branch to promote sale of syllabuses, materials and examinations.

President to attend ACACA meetings.

APPENDIX G5: EXAMPLE OF A MANAGEMENT
PLAN



BOARD OF STUDIES LIAISON OFFICER
SOUTH COAST

IMPLEMENTATION PLAN, 1991
AND EVALUATION OF SIX MONTHS TO 30 JUNE, 1991
AND OF LAST SIX MONTHS TO 31 DECEMBER, 1991

Michael O'Mullane
Board of Studies Liaison Officer
South Coast

1. INTRODUCTION - PURPOSE OF THE IMPLEMENTATION PLAN, 1991

The purpose of this implementation plan is to

- * identify the main undertakings of the Board of Studies Liaison Officer (BOSLO) for the South Coast;
- * specify the goals/actions for each six monthly period; and
- * indicate the general procedures/practices for achieving the goals

The plan also contains an evaluation system.

This plan has been developed within the conceptual framework provided by

- * Board of Studies, N.S.W., Draft Five Year Strategic Plan: Mission Statement and Corporate Objectives (December, 1990);
- * President's Performance Targets, 1991; and
- * Statement of Duties, Board of Studies Liaison Officers

Previous experiences in the South Coast as summarised in the Implementation Plans and Evaluations (1989 and 1990) have also been used in developing implementation strategies.

2. PROCESSES

The identification of "undertakings" has been arrived at partly through consensus among the ten BOSLOs and partly through independent considerations regarding the promotion of awareness, understanding of and a commitment to faithful implementation of Board Policies in the South Coast.

The process of decision making among the BOSLOs has left specific considerations of implementation to individual BOSLOs who take into account the "local" context.

Figure 1 summarises the main steps in the overall process.

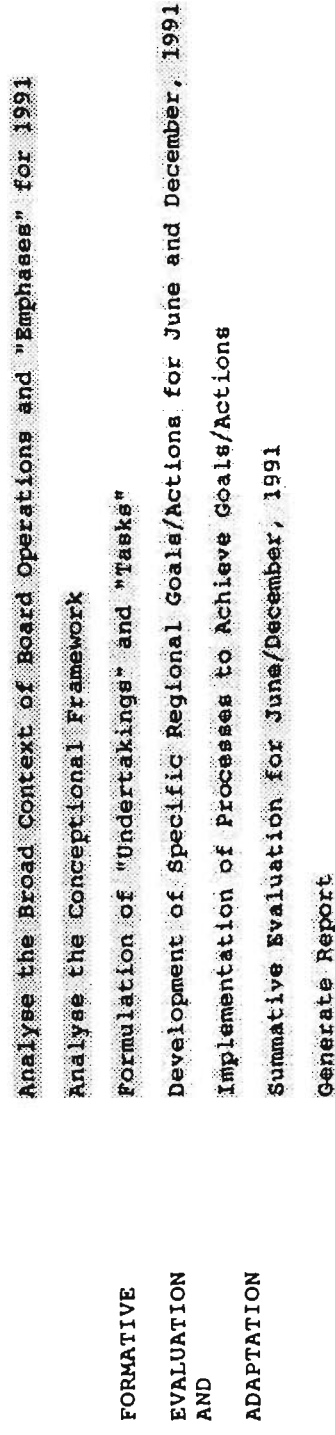


FIGURE 1: STEPS IN PROCESS OF BOSLO OPERATIONS

The year 1991 is a challenging one. It will include

- * planning for the implementation of curriculum initiatives under the Education Reform Act (1990), Excellence and Equity (November, 1989) and the Carriick Report (September, 1989);
- * the implementation of the School Certificate Grading system for Non-Reference Tested Courses;
- * the support in the maintenance of existing Board policies; and
- * promotion of greater awareness of the nature and roles of the Board of Studies, N.S.W.

Figure 2 below indicates the main "client group" in the South Coast which constitutes the "users" of BOSLO services.

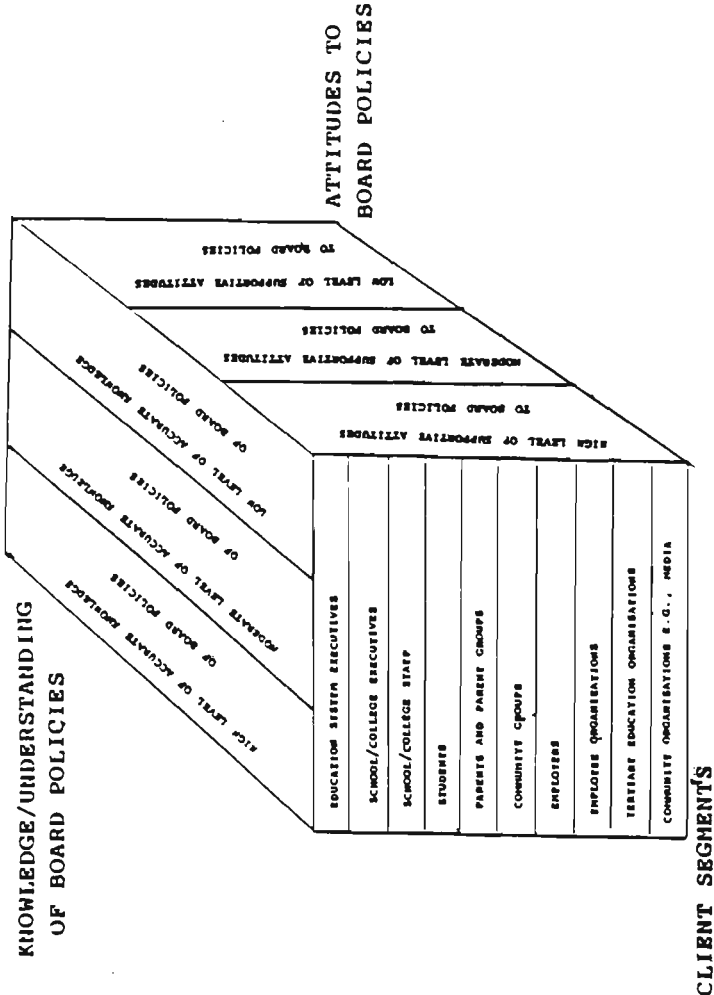


FIGURE 2: SOUTH COAST CLIENT SEGMENTATION : KNOWLEDGE OF, AND ATTITUDES TO, BOARD POLICIES

4. Principles of Operations

To assist in making support in the implementation of Board Policies effective, the following principles have been recognised as significant.

(a) Encouragement of "Proactive" Uses of Board of Studies Liaison Officer Services

Effective implementation of Board policies can only occur when all School/College executives and teachers understand them and are able to make appropriate decisions in terms of the requirements of these policies in a wide range of situations. While there is at present, and there will continue to be, a major need to be "reactive" to the demands of clients, the longer term development of school/college executives and teachers in knowledge and understanding of Board policies and the processes for implementing these, depends on a proactive strategy. The pursuit of this strategy rests on school and systemic executives promoting the need to become more proficient in the area. This principle is to be encouraged in Board of Studies Liaison work through

- (i) Promotion of the concept by direct and indirect contacts with school/college and systemic executives;
- (ii) Providing opportunities for school/college professional staff to develop more accurate knowledge of Board policies and effective ways of implementing them; and
- (iii) Providing other support after negotiation with school/colleges and school systems.

(b) Target "Linking Pins"

The "linking pins" in implementing Board policies and programs in each Assistant Principals school/college are the main "clients" of direct BOSLO support. These include principals, deputies, leading teachers, head teachers/subject co-ordinators, Year 10, 11 and 12 advisors/patrons, careers teachers/advisors, assessment co-ordinators, studies/curriculum co-ordinators, and members of curriculum committee. Promotion of the knowledge and understanding of Board policies and programs, and the faithful implementation of these depends on "linking pins". Without them, teachers, students, parents, and community members, including employers, are not likely to gain an accurate understanding.

(c) Emphasis on Positive Human Relations

Positive human relations are seen as essential in carrying out each BOSLO duty and in promoting a positive image of the Board of Studies and its policies and programs. Through these, human barriers to implementing policies effectively, such as perceived threats, ambiguous and selective perceptions, can be reduced.

(d) Maximise Opportunities for "Client" Participation

Opportunities for "client" participation are paramount to and underly effective understanding and ownership of the outcomes. Effective learning of Board policies and procedures must encompass these. The implications are that any work must involve, where possible, the "clients" recognising their own needs, pursuing a "guided discovery approach" to problem solving and working actively rather than being "told" answers or "lectured to". This does not mean that these latter will be ignored as they have a place on some occasions, particularly when individuals seek a solution to a problem they cannot solve from their own resources. In many situations, such as introducing "Curriculum Initiatives" these may be appropriate initial strategies.

Experienced personnel can be involved in leading workshops and other activities thereby recognising that they are "doing the right thing" and simultaneously showing others these "in school" role models.

(e) Minimum Costs/Maximum Output

It is assumed that each duty must be carried out on a least cost/maximum output basis. One of the most important areas is the need to ensure that the costs of travel and sustenance are kept low relative to the service supplied to "clients". It is evident that it is usually cheaper

- (i) to do multiple trips to the more remotely located schools, etc., than to incur sustenance; and

(ii) to confine travel (to and from more remote centres) (when possible) to outside school/organisational hours to allow full use of available school/organisational time.

(f) Promotion of Positive, Proactive Communication

"Keeping 'clients' informed" is seen as essential in assisting them to understand and implement Board policies faithfully. At the regional level this entails

- (i) Responding to client enquiries efficiently and effectively especially on the telephone;
- (ii) Notifying "clients" efficiently of any Board related decision which affects them especially in the South Coast (e.g., by the Regional Endorsement Panel); and
- (iii) Communicating where appropriate in writing about specific matters of general relevance by news sheets, letters, etc.

(g) Promotion of the Use of Effective Learning Groups in the Development of "Linking Pins"

While work with larger groups of teachers, parents, students and community members will always be perceived as a way of informing and clarifying Board policies and programs, direct professional support of "linking pins" is likely to be more effective with individuals and smaller groups, especially as part of a longer term development program when positive reinforcement can occur, and opportunities can be provided to help internalise Board processes.

5. BOSLO EMPHASES IN THE SOUTH COAST 1991

There are three main groups of emphases for the South Coast BOSLO in 1991. These are

- * Promoting a Positive Image of the Board of Studies, N.S.W., and its Policies and Programs
- * The Implementation of Curriculum Initiatives
- * The maintenance of effective implementation of existing Board policies

Table 1 details the undertakings to support these emphases along with the tasks, and goals/actions for June and for December, 1991.

6. Evaluation

There is an evaluation matrix provided for each group of "undertakings". This is intended as an effective and simple way of giving an indication of the degree to which each undertaking has been achieved and what corrective action is necessary.

TABLE 1: EMPHASES, UNDERTAKINGS, TASKS, AND GOALS/ACTIONS FOR SOUTH COAST BOSIO, 1991

I. INITIATIVES		GOALS/ACTION	
SOUTH COAST BOSIO UNDERTAKINGS, 1991		JUNE, 1991	DECEMBER, 1991
Implementation of Curriculum Initiatives		TASKS	
<ul style="list-style-type: none">To promote successful curriculum implementation of initiatives given inCarrick Report (September 1989)Excellence and Equity (November, 1989)Education Reform Act (June, 1990)	<ul style="list-style-type: none">Promote dissemination of accurate and positive information on<ul style="list-style-type: none">the "Reformed Curriculum", K-12Benefits to StudentsCurriculum and Credentialling opportunities for disabled/talented studentsCurriculum pathways to optimise achievement of excellence and equitythe Requirements under the Education Reform Act (1990) and government policyAssist in the rationalisation of the number of Other Endorsed Studies (OESs)Promote awareness and understanding of the curriculum pathways and the links between primary, secondary, TAFE and tertiary education in the Context of "Curriculum Initiatives".	<ul style="list-style-type: none">1. Advertise to clients the services from the BOSIO with respect to "Curriculum Initiatives" and other Board Policies.2. Negotiate with clients for BOSIO assistance in developing knowledge and understanding of requirements under "Curriculum Initiatives".3. Participate in JSST workshops.4. Organise and promote the value of four consultative meetings in the South Coast on the implementation of curriculum initiatives.5. Conduct workshops, etc., on curriculum initiatives.6. Communicate to clients the benefits of curriculum initiatives.7. Communicate with schools on details of curriculum/credentialling opportunities for disabled students.8. Monitor concerns/interests of clients with respect to curriculum initiatives.9. Advise Board of trends in Client perceptions of curriculum initiatives.	
		<ul style="list-style-type: none">1. Actively promote understanding/awareness of the Boards (July) Implementation Document.2. Conduct meetings/workshops/seminars in school/colleges and with parents and community groups on curriculum requirements for 1992 and beyond.3. Participate in other Board of Studies activities on Initiatives required.	

EVALUATION: GOALS ACHIEVEMENT MATRIX FOR SIX MONTHS TO

JUNE, 1991

DECEMBER, 1991

GOAL	ACHIEVEMENT				VARIANCE REPORT - WHY?	FURTHER ACTION NEEDED	GOAL	ACHIEVEMENT				VARIANCE REPORT - WHY?	FURTHER ACTION NEEDED
	HIGH	4	3	2	LOW			HIGH	4	3	2	LOW	
1.	✓						1.	✓					
2.	✓						2.	✓					
3.	✓						3.	✓					
4.	✓												
5.	✓												
6.	✓												
7.	✓												
8.	✓												
9.	✓												

Need to consider workshops in all K-6 syllabuses as they came out as unaware of systemic plans to promote syllabuses broadly.

Needed also to offer workshop in K-6 Science and Technology syllabus in three areas.

Need for further contact with schools. Not all schools recognising curriculum and credentialling opportunities for disabled students.

Aberrant perception of curriculum and credentialling changes need closer monitoring.



TABLE 1 (CONTINUED)

II. MAINTENANCE

SOUTH COAST BOSIO UNDERTAKINGS, 1991		TASKS	GOALS/ACTION JUNE, 1991	GOALS/ACTION DECEMBER, 1991
<u>Assessment and Credentialling</u>				
* To promote awareness and understanding of Board of Studies policies and procedures on Assessment and Credentialling.		<ul style="list-style-type: none">* Provide advice to schools/colleges on the implementation of the grading system for non-reference tested School Certificate Courses.* Promote awareness and understanding of credentialling opportunities for students with learning disabilities.* Promote a better understanding of the nature and value of School Certificate and Higher School Certificate programs.* Provide advice on the rules and procedures for School Certificate and Higher School Certificate Programs and award of the credentials.* Provide advice on Board rules and procedures for Assessment for the School Certificate and Higher School Certificate Programs.* Assist clients in understanding the requirements of Assessment for new HSC syllabus areas.* Provide advice to schools, TAFE Colleges, Employers and other interest groups on Board policies relating to JSST program.	<ol style="list-style-type: none">1. Advertise to clients directly by letter/pamphlet/poster the availability of BOSIO services in the areas of assessment and credentialling.2. Conduct negotiated meetings/workshops, etc., throughout the region and schools/colleges and other organisations on<ul style="list-style-type: none">* School Certificate and Higher School Certificate Assessment and Credentialling* SC/HSC procedures including Illness/Misadventure Appeals and Special Provisions3. Negotiate with schools and other organisations as required by Board for the use of buildings for storage/security of HSC examination papers.4. Organise/conduct HSC marking workshop for students and staff [at Bega (sponsored by CAP)].5. Process applications for Special Courses.	<ol style="list-style-type: none">1. Provide advice on Illness/Misadventure Appeals and Special Provisions by<ul style="list-style-type: none">* responding to enquiries* advertising the nature of Illness/Misadventure procedures and Special Provisions2. Conduct negotiated meetings/workshops, etc. throughout the region on<ul style="list-style-type: none">* School Certificate and Higher School Certificate Assessment and Credentialling* SC/HSC procedures including Illness/Misadventure Appeals and Special Provisions3. Carry out as required by Board any duties with respect to the conduct of the School Certificate Reference Tests and the Higher School Certificate Examinations.4. Process applications for Special Courses.5. Participate in the Illness/Misadventure Appeals Panel in December.6. Conduct the South Coast HSC Inquiry Centre (January, 1992).

EVALUATION: GOALS ACHIEVEMENT MATRIX FOR SIX MONTHS TO

JUNE, 1991										DECEMBER, 1991									
GOAL	ACHIEVEMENT					VARIANCE REPORT - WHY?	FURTHER ACTION NEEDED	GOAL	ACHIEVEMENT					VARIANCE REPORT - WHY?	FURTHER ACTION NEEDED				
	HIGH	4	3	2	1				HIGH	4	3	2	1						
1.	✓							1.	✓					Less inquiries than in previous years.					
2.	✓							2.	✓					Not all Schools appear to understand application of S.C. grades.	Need to promote this more consciously in 1992.				
3.	✓							3.	✓										
4.	✓							4.	✓						Need to promote awareness of "Special Courses/Programs".				
5.	✓							5.	✓										
								6.	✓										



TABLE 1 (CONTINUED)

II. MAINTENANCE (CONTINUED)



SOUTH COAST BOSLO
UNDERTAKINGS, 1991

TASKS		GOALS/ACTION JUNE, 1991	GOALS/ACTION DECEMBER, 1991
<u>Finance and Administration</u>			
<ul style="list-style-type: none"> * To provide effective and efficient management of the Board's financial resources at the regional level. * To provide effective and efficient management of Board administrative procedures at the regional level. 	<ul style="list-style-type: none"> * Manage Other Endorsed Studies procedures within the region. * Maintain effective and efficient Board Endorsed Courses (OES) database at the regional level. * Provide feedback to the Board on any other matters of relevance to the Board in the region. * Provide monthly reports to the President on BOSLO operations in the region. * Provide an annual report to the Board on BOSLO operations in the region. * Monitor size and direction of expenditure and take appropriate action. * Monitor office Practices for efficiency and effectiveness. * Ensure that expenditure provides for effectiveness of BOSLO operations in the region. 	<ul style="list-style-type: none"> * OES design * OES Applications/procedures * Conduct negotiated meetings/workshops/ seminars on OES design. * Review the accuracy of the OES database and take appropriate actions. * Prepare for installation of updated Database. * Administer formation of REP for 1991-1992. * Provide monthly financial report (Commitment Register and Cash Flow). * Advise clients on Administrative procedures for Board programs. 	<ol style="list-style-type: none"> 1. Install updated database. 2. Conduct induction program for REP. 3. Conduct REP meetings. 4. Administer REP decisions. 5. Provide monthly financial report (Commitment Register and Cash Flow). 6. Participate in the two RRG meetings for JSST Courses. 7. Process OES submissions and provide updates to Board mainframe computer. 8. Advise client of administrative procedures for Board programs.

II. MAINTENANCE (CONTINUED)

SOUTH COAST BOSLO UNDERTAKINGS, 1991		TASKS	GOALS/ACTION JUNE, 1991	GOALS/ACTION DECEMBER, 1991
<u>Registration and Home Schooling</u>				
* Assist the Board with Registration and Home Schooling procedures as required.		* Provide advice to schools and other Board clients on the procedures for registration of Non-Government schools and for Home Schooling.	1. Conduct Home School Visits and provide reports.	1. Assist the Board with further Home Schooling Visits and provide reports.
		* Assist the Board, when required, in the process of registration of Non-Government schools and Home Schooling.		

EVALUATION: GOALS ACHIEVEMENT MATRIX FOR SIX MONTHS TO

JUNE, 1991						DECEMBER, 1991					
GOAL	ACHIEVEMENT		VARIANCE REPORT - WHY?	FURTHER ACTION NEEDED	GOAL	ACHIEVEMENT		VARIANCE REPORT - WHY?	FURTHER ACTION NEEDED		
	HIGH	LOW				HIGH	LOW				
	5	4				5	4				
1.	✓	3			1.	✓	2				
	Some Improvement of Board Home Schooling Documents Needed.					Some Improvements of Home Schooling Documents needed.					
											
						Advise Home Schooling Inspector of need for more details of expectations.					

II. MAINTENANCE (CONTINUED)

SOUTH COAST BOSLO UNDERTAKINGS, 1991	TASKS	GOALS/ACTION JUNE, 1991	GOALS/ACTION DECEMBER, 1991
<u>Human Resources</u>	<ul style="list-style-type: none">• To identify and implement human resources development training to meet Board and client needs at the regional level.• To maintain and extend work practices which are effective and efficient.• To promote training and development of Board's human resources at the regional level.	<ol style="list-style-type: none">1. Discuss with Clerical Officer training needs for year.2. Negotiate work routine that ensures a <u>variety</u> of experiences.3. Identify formal training courses which meet the individual and professional needs of CO and BOSLO and negotiate attendance.3. Conduct with CO "in house" "updates" on Board policies and procedures and client relation skills.4. BOSLO to participate in BOS conference and workshops and appropriate "outside" activities.	<ol style="list-style-type: none">1. CO to undertake course for Word Perfect 5.1.2. Provide CO with "in house" updates on Board policies and procedures.3. BOSLO to participate in BOS Conferences and workshops and appropriate "outside" activities.4. CO to receive training on "update" of OES Database.5. Evaluate Human Resource development and application.

EVALUATION: GOALS ACHIEVEMENT MATRIX FOR SIX MONTHS TO

JUNE, 1991

DECEMBER, 1991

GOAL	ACHIEVEMENT				VARIANCE REPORT - WHY?	FURTHER ACTION NEEDED	GOAL	ACHIEVEMENT				VARIANCE REPORT - WHY?	FURTHER ACTION NEEDED
	HIGH 5	4	3	2	LOW 1			HIGH 5	4	3	2	LOW 1	
1.	✓						1.				✓	Training on WPS.1 not complete.	CO needs opportunity for professionally organized training - Advise, Manager, administration.
2.	✓						2.	✓					
3.	✓						3.	✓					
4.	✓					Advise Board of Need for more training for Clerical Officer.	4.				✓	"Training" largely left as "self help" with new database.	COs should have more professionally organized training in newer systems - Advise manager, administration.
5.	✓						5.	✓					



III. PROMOTING A POSITIVE IMAGE OF THE BOARD

SOUTH COAST BOSIO UNDERTAKINGS, 1991		TASKS	GOALS/ACTION JUNE, 1991	GOALS/ACTION DECEMBER, 1991
* To promote a positive image of the Board of Studies and its policies, programs and procedures.	* Provide accurate positive information on the nature of the Board of Studies and its roles in curriculum, credentialling and assessment.		1. Provide a user friendly telephone service.	1. Provide a user friendly telephone service.
			2. Provide positive accurate coverage of Board related matters in communication to clients (e.g., Newsletter, letters, telephone advice).	2. Promote positive, accurate coverage of Board matters in Communications with clients (e.g., Newsletters, letters, telephone advice).
			3. Advertise the nature of the Board of Studies and BOSIO services in pamphlets, etc.	3. Respond promptly to enquiries from clients.
			4. Respond promptly to enquiries from clients.	4. Provide information and advice to media in the Region on Board programs and activities (e.g., SC Reference Tests, HSC Examinations, HSC results) when appropriate.

EVALUATION: GOALS ACHIEVEMENT MATRIX FOR SIX MONTHS TO

JUNE, 1991									
DECEMBER, 1991									
GOAL	ACHIEVEMENT			VARIANCE REPORT - WHY?			FURTHER ACTION NEEDED		
	HIGH	3	2	LOW					
	5	4		1					
1.	✓					Highly commended by clients.	Relay to Board.	1.	✓
2.	✓							2.	✓
3.	✓					Board/BOSLO communication not passing through school hierarchy to all staff.	Need to continue to find complementary avenues for disseminating information.	3.	✓
4.	✓							4.	✓

Highly regarded by clients.

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(Appendix C1 contains works specifically related to implementation planning undertaken by the Board of Studies, N.S.W. These include a substantial number of works not contained in this Reference section. All Board of Studies works are cited by their full title in the text of the thesis.)

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