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ABSTRACT
                The methodology is reviewed and recommendations
offered regarding alternative administrative structures. A more
systematic study of the literature is advocated, along with the
establishment of a reference group of administrators to act as
advisors to the research team. The research must be focused on more
than one department. The systems approach should be preferred as a
method, with the behavioral approach developed further before it can
be used in a practical project. The next phase of the project has to
be drafted in close contact and cooperation with the administrative
reference group. The proposed project must be presented to the
members of the IMHE program for comments, suggestions, and approval,
and time for amendments according to discussion of the project draft
should be allowed. It is concluded that execution of the project can
take place at the various universities, in cooperation with the
administrative reference group members. (LBH)

centre for educational research and innovation

PROGRAMME ON INSTITUTIONAL MANAGEMENT
IN HIGHER EDUCATION

COMPARATIVE EFFECTIVENESS OF ALTERNATIVE ADMINISTRATIVE STRUCTURES

evaluation report

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OECD ORGANISATION FOR ECONOMIC CO-OPERATION AND DEVELOPMENT

ORGANISATION FOR ECONOMIC
CO-OPERATION AND DEVELOPMENT

Centre for Educational Research
and Innovation

Paris, 16th December 1974
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Programme on Institutional Management in
Higher Education

STUDY OF THE COMPARATIVE EFFECTIVENESS
OF ALTERNATIVE ADMINISTRATIVE STRUCTURES

Evaluation Report

by

Lars Uno Thulin

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NOTE BY THE SECRETARIAT

A major objective of the Second General Conference of Member
Institutions of the IMHE Programme is to evaluate the proposed method-
ologies and results of the three research groups which will have complet-
ed their work during 1974. For each research group, therefore, an
outside expert was designated in advance of the Conference and asked
to undertake an impartial evaluation of its work. The guidelines
issued to evaluators stressed the need to assess the validity and
scientific interest of the results, their operational usefulness for
achieving better management of higher educational institutions, their
transferability to different countries and institutions and their
comparability with findings resulting from similar research carried
out elsewhere. In addition, evaluators were requested to briefly sum-
marize the findings of the project in order that readers who had not had
an opportunity to consult the full report in detail would be apprised
of its content and to formulate concrete proposals for subsequent
analysis on the same or related topics.

This report evaluates the work of Research Group No. 3: "Study
of the Comparative Effectiveness of Alternative Administrative Structures".
The Centre for Educational Research and Innovation wishes to express
its sincerest thanks to the author.

PART I.

THE PROJECT

The first General Conference of Member Institutions within
the CERI Programme on Institutional Management in Higher
Education was arranged in January 1973. At the conference
a main theme for discussion was the effectiveness of university
government and administration. It was clear that very little
substantive research had been undertaken concerning the
development of measures of effectiveness of administrative
structures of universities and other institutions of higher
education.

On this background the IMHE-programme assigned high priority
to stimulate and initiate some research in the mentioned
area. As stated in the note by the secretariat the project
was designed more as a feasibility study than as a result-
yielding, full-size, research programme.

From the outset, the project was viewed as a pilot exercise
and it was not foreseen that results which could be directly
applied in practice would emerge. Rather, the project was
divided into three distinct stages, each with rather limited
objectives. The first stage, which began in May and ended
in December 1973, was devoted to:

- formulating workable definitions of effectiveness
  of administration in institutions of higher education.

- exploring and identifying a number of measures of
  administrative effectiveness and structure in
  such institutions.

- testing the practicability of such definitions and
  measures against on-going processes.

The project was carried out by a small team of researchers
in the Department of Operational Research at the University
of Sussex in the United Kingdom, with professor B.H.P. Rivett
as Project Supervisor. At the outset two conceptual approa-
ches were proposed, namely the Systems Approach and the
Behavioural Approach, the methodologies and results of which
are the subject of this report. Throughout the first stage
of the project, considerations were given to the development
of a methodology which would be applicable in a variety of
national context and towards this end a small meeting of
experts from different OECD Member Countries was convened
in Paris in October 1973 in order to provide the research
team with feedback as to the general applicability of the
methodology under development to different institutions in
Europe. The final part of the first stage of the project,
which consisted of the development of a set of questionnaires
to be tested in different volunteer institutions, benefitted
from initial tests at the University of Sussex.

The second stage of the project, which involved the appli-
cation of the questionnaire materials in different European
institutions, was launched at a formal meeting held in Paris
in February, 1974 at which the methodology was presented for
comment and subsequent revision. As a result of this meeting,
19 institutions agreed to participate in the case study phase
of the project.

Each of the participating 19 institutions agreed to complete
a package of questionnaires designed by the research team.
For the execution of the work a Chief Investigator was
appointed at each of the institutions. It was estimated that
the necessary work put in by each Chief Investigator would
not amount to more than 8 weeks.

At the Meeting in February 74 the institutions voiced
scepticism concerning the composition of the research team.
It was pointed out that the experience from, and the understanding
of, university administration would have been a great help
to the research group. In order to meet - at least partly -
the problem the meeting agreed to establish an Advisory Group
for the project which should assist in coordinating the case
studies in each country and provide comments on the findings
of the study. The members of this Advisory Group were:
P. Almefelt, Linköping University, A. Duggan, University of
Dublin (Trinity College), P. Immer, Ecole Polytechnique
Féderale of Lausanne, D.W.J. Morell, University of Strath-
clyde, A. Quilliot, University of Paris I, D. Rex, University
of Essex, R. Rouquairol, University of Saint-Etienne, R. Sen-
sique, Catholic University of Louvain, M.D. Sommerer, Bavarian
State Institute for University Research and University
Planning. L.U. Thulin, University of Trondheim.

The final stage of this project consisted of the processing
of the questionnaire materials received as a result of the
case studies. The results of this analysis and proposals
for future work are the subject of the final report.

The Advisory Group received the final report in July 1974, and
a preliminary evaluation report was distributed before the meeting
of the Advisory Group in October 1974.

The Preliminary Evaluation Report was prepared as an assessment
of to what extent the project "Comparative Effectiveness of
Alternative Structures in Institutions of Higher Education"
had resulted in practicable results - and how to proceed
with the work in this field. In writing the Preliminary
Evaluation Report the Evaluator benefitted from contributions
from several members of the Advisory Group.

At the October meeting the Advisory Group agreed upon comments
and conclusions put forward in the Preliminary Evaluation
Report. However - as the project team informed that they had
decided to re-write parts of the final report - it was found
necessary to add some fresh comments to the evaluation report -
after the final report had been prepared.

In this Evaluation Report the Preliminary Evaluation Report is
presented as part II, and - even if some of the references
to pages in the final report no longer is meaningful - it is
considered valuable for the members of the programme to see the
development of the project as it were: A dialogue between the
project team and the Advisory Group.

PART II: THE PRELIMINARY EVALUATION REPORT.

THE SITUATION

Confronted with the expanding number of students, the rising
unit costs, the increasing public critisism of academics and
students, and faced with unrest and uncertainty in their
internal bodies, the universities are in a situation which
could be understated as depressing.

On the other hand, the future looks promising when one iden-
tifies the needs of modern society, and realises that in the
universities we have important power stations, ready to pro-
duce the intellectual energy which is one of the necessary
requirements if we are to solve the changing problems that
will confront us all.

From this ambiguous situation it is justified to describe
the future of the universities by paraphasing Charles Dickens
as he opens "A Tale of Two Cities",

> " It will be the best of times
>
> it will be the worst of times
>
> it will be the spring of hope
>
> it will be the winter of despair."

This conflicting situation, with the high hopes and the heavy
despair, are classical in stimulating neurotic behaviour.
Without going into the subtleties of the question of to which
extent organisations can be labelled neurotic, there are today
many symptoms of neurotic reactions in university organisations.
The blame for the present or anticipated problems are put on
groups or factors outside one's own control, and for fulfil-
ment of the high hopes for the future, one eagerly searches
for an omnipotent saviour.

In order to rationalise our efforts to cope with our own
problems, and to contribute to the model for a better future
for higher education, we who participate in the IMHE programme,
together try to sort out common problems and to identify means
by which these problems can be solved.

More often than not, we find ourselves in a cul-de-sac, when
the hopes and promises led someone to expect that we were on
the high-way to "the great solution". Sometimes, however, we
can conclude that the path we followed did lead us onto firmer
ground, from which we can start another effort in the direction
of improved performance and effectiveness.

In the following we shall try to give an answer to the question
where the project "Study of the Comparative Effectiveness of
Alternative Administrative Structures" dis lead us? In order
to bring the evaluation down to the level where implementation
could be analysed, I finally decided to ask three questions,
and, hopefully, answer them.

What did we want?

What did we get?

What do we do now?

WHAT DID WE WANT?

Confronted with the grave problems in higher education, it is quite distressing to observe the rigidity of the systems of' higher education. This is very succinctly put in an OECD-publication [1]:

"Innovations have been introduced during the last years in all systems through the creation of new universities and through reforms of specific aspects of higher education, such as teaching methods, the degree structure or the decision-making procedures within institutions. Almost nowhere, however, have these partial innovations affected the system as a whole; at best, they remained isolated efforts; in many cases they where negated or distorted by the traditional system. There can be no doubt that the existing structures which limit mobility of finance and mobility of students and teachers, also limit resceptivity to innovation and inhibit its diffusion".

One of the important tasks for the professional administration within universities must be to suggest innovations, and to aid in the implementation of these.- after decision in the appropriate governing bodies.

A fundamental prerequisite for the governing bodies and the administration within the institutions is to know, with as much certainty as possible, what the critical factors are. The effort has to be focused on first-order problems.- not on secondary or minutiae.

In this mapping of problem-centers within an organisation, in casu universities, it will be evident that some problems are intrinsic in nature and some are extrinsic. · Of the intrinsic, or internally originated problems, some are stochastic in their nature, and has to be delt with as such.

In the dealing with stochastic problems, like a neurotic section-leader in the administration, or a strong personal dislike between the key-persons within the university, we all know - as administrators, that no general method is the correct way. We have to use our human insight and our knowledge of the informal details of our organisation. We can't solve such problems "by the book", they can only' be handled by a "hands-on" control. These problems, which very often can threathen the very existence of the organisation, are not of such a nature that they are a part of the present project.

Thus, eliminating one very important part of the bulk of problems, universities try to cope with, we may ask again: What did we want from the performed investigation?

We wanted to know if there are indications of generally valid, casual correlations, between formal organisational set-up and effectiveness. An examination of this has to

1) Towards New Structures of Post-Secondary Education. A Preliminary Statement of Issues. PARIS 1971. (p. 30).

take into account the different external constraints the
various institutions are exposed to. These extrinsic factors
could be so strong that they dominate completely - and, thereby,
no valid conclusions could be drawn across national borders,
concerning organisation and effectiveness. This problem
of external/internal structure is often identified by investi-
gators probing into "the university mystery". As an example
I quote from a publication from the IAU:[2]

"A study of university administration implied not merely a
study of the relations linking them to society in general.
It would be arbitrary to consider these separately, since
they conditioned each other. Moreover, functions which are
carried out in some cases by the university internally, in
others are assumed by external bodies, ministerial or
other. And some systems have bodies which are neither
completely internal nor completely external. This is the
case with the "lay" administrative boards of American
universities, the curatorial system in some German universities
and, up to a point, some of the bodies functioning under the
ministry of education in France".

If we go from this very crude description of what we didn't
want and did want, we very soon discover that we are faced
with a multi-dimensional problem. There exists well estab-
lished methods for the treatment of multi dimensional models.
The establishment of a workable model is the heart of the problem.

For the benefit of the further work in this field, I would
like to quote another OECD- publication:[3]

"Professors of Econometrics or Operational Research, who are
experts in the construction of models and who are also
concerned about the problems of the universities within
which they work, have so far been unable to bring their
specialist expertise and their institutional experience
together in order to construct workable models for a university".

This observation underlines the severe difficulties connected
with the isolation and identification of the necessary and
most important parameters in a mathematical model.

In concurrence with the observation quoted above, I'd like
to quote at some lenght from the newly published "Back-
ground Papers" by Alfred Morris. Mr. Morris was in 1971-73
a Research Fellow at the University of Sussex, sponsored by
the Leverhulme Trust, taking part in the Leverhulme Project
in the University Planning and Organisation.

In an interesting introduction to his report he writes:[4]

"Universities contain a highly educated and skilled community
of people who expect to find self-actualisation in their
work, who expect to participate in decisions affecting them
and who allow authority in deference to acknowledged greater

2) The Administration of Universities IAU. PAPERS-8 PARIS 1967 (p.xii)

3) Geoffrey Lockwood: University Planning and Management
   Techniques, OECD, PARIS 1972. (p.99).

4) Alfred Morris, "Background Papers". University of Sussex,
   1974. (p. 11)

expertise, knowledge or intellect - as opposed to recognising
hierarchical authority of the rational legal type described
by the German sociologist Max Weber. Members of that
community co-ordinate their activities in largely self-chosen
groups, and enjoy a high discretionary work content. I
could go on - the point is that to someone with a background
of experience and some theory in 'Business organisation' it
does rather look as though the university already has many
of the features which, business theorists have argued, are
likely to produce a highly effective, innovative, productive
and satisfied organisation.

Yet, in fact universities are often thought, and not only by
people distant from them, to be inefficient, and behaviour
often suggests they can be frustrating for both students and
academics. I believe that much of that frustration derives
from difficulty, whether real or imagined; in achieving, or
influencing the direction of, change.

To turn to my own background, I came to a research project
at the University of Sussex concerned with resource allo-
cation and economy within universities but with little previous
exposure to such institutions. Let me describe the approach
I adopted in trying to understand the university.

The approach.

I came into the university asking about objectives and
found myself involved in almost theological debate to which
it was not obvious that there need ever be any end. My
concern with attempting to identify objectives derived in
part from the suggestion that I should look at the feasibility
of applying 'Planning, Programming, Budgeting Systems' to the
university. Such systems usually lay great stress on
specification of objectives. But my concern with objectives
also reflected my inclination to turn towards the classical
economic model of the organisation and indeed to regard
it as almost a definition of rationality that one should
specify one's objectives and articulate values as a necessary
first step to deriving the activities appropriate to the
pursuit of those objectives and values.

It is certainly 'tidier' if one insists that every organisation
must have, and should seek to articulate, its goals or
objectives.

Every public company has a well defined corporate objective
in seeking to maximise the wealth of its shareholders and
the micro-economic model of the firm anticipates only
limited compromise of the aggressive pursuit of that objective
to accommodate social considerations. The decision structure
is designed to facilitate efficient achievement of the
corporate objective. That model does not seem to be appropri-
ate to a university.

Policy in an institution such as a university is politically
formed through interaction between various participants
producing a general preference function, which need not corre-
spond to that of any individual participant or group of partici-
pants. It is a dynamic process best represented by a hierachy
of competing objectives. Unlike the industrial organisation,
the university cannot be treated as a single organism with a
consistent set of desires and a life of its own. The control
of a university is perpetually in the hands of a coalition.

I decided to forget about objectives and concentrate upon
identifying the activities carried on in the university.
One can debate objectives forever, particularly in a coalition,
but it is observable that universities have car parks, and
catering facilities, and more essentially, that they undertake
teaching and research activities. So, after an abortive
attempt to ascertain what were the objectives of a university,
the first constructive step I took in educating myself to an
understanding of such an institusion involved what I will describe
as a activity analysis.

The second step was to concern myself with understanding the
formal organisation and this I attempted to accomplish by ob-
taining organisational charts, information on the committee
and officer structure, sight of the Charter, job descriptions
and the like. At this point I had an understanding of the
university, or rather of the activities and formal organi-
sation of the university, not much better than might have
been obtained by mail order and so my next concern was to
identify the informal structure of the university by talking
to people, getting them to gossip, to be indiscret - which
is much easier in a university than elsewhere perhaps because
tenure loosens the tongue. Only at this point did I begin
to feel where leadership, influence and power really lay,
where decis ns were made and what group and individual
objectives really were.

The next step in my attempt to come to grips with the nature
of the university was to observe behaviour, to examine the
record, and then to try to rationalise the observed phenomena
given the understanding I had now acquired of the activities,
formal organisation, and informal structure of the university.
For this purpose I undertook a case-study based on examination
of the minutes and all papers laid before a variety of univer-
sity committees during the previous five years.

My inability even at this point to rationalise behaviour to
my own satisfaction led me to appreciate that one must first
have an understanding of the external system within which an
individual institution operates. This means that I came to
understand the need for a systems approach and correspondingly
I turned my attention to considering the national and regional
governmental offices and organisations, including negotiating
bodies representing particular interest groups. In the
British context they include the University Grants Committee,
the Committee of Vice-Chansellors and Principals, the Asso-
ciation of University Teachers, the Department of Education
and Science and the Research Councils in addition to other
bodies. I considered not just their formal role and powers
but (particularly regarding the University Grants Committee
which channels the bulk of Government monies into British
universities) their informal influence. I found it essential
to appreciate the impact of their rules and regulations, most
particularly as regards sources and conditions of finance,
and only with that understanding could I begin to rationalise
what I had observed.

Such a systems approach implies that any change in the external
system, be it structural of procedural, demands compensating
change at institutional level. It also presumably implies

that differing structures and procedures in various
countries (particularly the nature of institutional autonomy,
the extent and manner of governmental intervention in
policy, and the basis and timescale upon which government
funds are made available) demand and will produce differing
institutional forms and arrangements and necessitate different
planning processes.

Having aquainted myself with the external system which
constrained the University of Sussex I now found that I was
better equipped to rationalise behaviour at institutional level
provided that I remembered that participant behaviour is not
just a function of 'what is' but also of 'what is thought to be'
which is to say of what is conjectured as well as what is
known of decesion-making prosesses. For example, in under-
standing attitudes and decisions regarding student admissions
in a particular year it was important to understand that those
making the decisions were not certain of the procedures to
be followed by the British University Grants Committee (UGC) in
determining financial allocations for future years. It was
commonly suspected that to admit any substantially increased
number of students in that year of the current quinquennium
(and remember that for a British University its annual
recurrent grant is fixed every five years and is not varied
in relation to any increase in student numbers) - might lower
unit costs per student to a level which would become the basis
on which financial provision for the next quinquenium would
then be calculated by the UGC. So game theory could help
explain behaviour which economic rationally could not, and
one way of increasing the economic rationality of behaviour
might have been to make t.e national planning process more
visible and thus reduce conjecture".

I have a feeling that the approach in the present project
more or less reflects the same attitude towards the university
as an organisation.

What we, as administrators representing our universities and
exposed to the everyday problems wanted, was a meaningful
study into the factors governing the effectiveness of our
work. When we ask for meaningfulness it is quite simple to
explain what we mean.

A Meaningful project should give results whose interpretation
establishes clear indications of amendments to be made in
order to improve the management within our institutions.

As this was a pilot project, it should be seen and used as
an exploration into the possibilities of a meaningful study.

Let us turn to the next and crucial question.

WHAT DID WE GET?

In the Final Report [5] it is stated on page 90, as a part of the Conclusion, that

"In the original proposals the investigators commented
that 'A preliminary review of the literature suggests it is
unlikely there exists at present any established or acceptable
method of determining the effectiveness of University decision
making'. Certainly that still remains the conclusion of the
investigators now, and this report does not pretend in any
way to suggest as a result of what has been done the 'esta-
blished or acceptable methods' now exists."

There can be no doubt about the truth of this general
conclusion. The outset, however, was that the investigation
was preliminary and exploratory. The project was stated
as a pilot one, seeking (as the Final Report says, p. 90)
to establish whether or not certain lines of investigation
were useful or practicable. The project team summarizes
(p. 91):

"In terms of debit and credit regarding results, the project
may be summarized as follows:

On the theoretical side the questionnaires do not have a
firm foundation, and in an objective, scientific sense much
of their contents is naive, subjective and, in parts, even
academically unacceptable. Nevertheless the general approach,
organisation, execution and methods of analysis (the estab-
lishment of which were prime aims of the project) were, to
a large measure, independent of methodological soundness and
here a fair degree of success is claimed".

In the following I would like to look at the basis for this
conclusion.

If we read through the report looking for indications of
possible improvements in our own organisational set-up, it is
unlikely that we will find what we look for.

In my opinion the project ended up as much more "exploratory
and preliminary" that indicated at the beginning. The results
are indeed not very relevant for the everyday running of an
institusion.

On the other hand this result was not unexpected, neither
by me, nor perhaps, by any of the others in the advisory
group.

As became evident already at the initial meeting in Paris,
where the proposed project was discussed, the administrators
thought that the project group went into the investigation
with an unjustified optimism. An optimism which, to some
extent, was founded on insufficient knowledge of the subject
"Universities as organisations". As we can see from the
results and from the comments, the optimism was unjustified and
the level of expectation had to be reduced considerably. The

5) The first version of the Final Report, presented in Paris,
October 1974.

Report states (p. 90):

"The implication here is that the lines of investigation
existed or, at least, they could soon be assembled
from a body of knowledge, which was assumed to exist.
Hence it was decided that the major emphasis of the project
would lie in the practical approach. Misgivings about such
an approach was expressed in the initial proposals and,
with the benefit of hindsight these appear to be well founded.
It soon became apparent that there were no techniques of
measuring effectiveness in ways that could be applied to
the function of Institutions of Higher Education; and
that their absence was a problem of sufficient magnitude for
the whole of the project to be concerned with it.

In many respects, however, the error was found to be of
positive value".

I will later return to the last sentence - and expand on
the meaning of the statement.

As I have mentioned, I have decided that the more detailed
criticism should be based on the October meeting, but in
the following I will comment on some fundamental aspects
of the Report.

When I completed the reading of the Report, I found that
I had read two reports plus an annex, and I wondered: What
happened to the research team? I do imagine that the shortage
of time is the reason behind the heterogeneous impression
the report gives, and I will not go further into this aspect
of the report, but instead pay attention to the presentation
of the results. My immediate reaction to the Final Report
was that this is not the best way to present the results
of a study of administrative efficiency to university
representatives. Even if most university administrators
are familiar with statistics through their jobs, and even
if many of them have an advanced knowledge of statistics,
the results should be presented in a way that makes the
results accessible for all representatives. In future
reports a great deal more effort has to be put into the
presentation problem.

We could of course go into the statistical methods used
and invite a lengthy discussion on these. I suggest
that the time for that has not yet come. The methods applied
are well enough established, and we must focus our attention
on more important things. We have to bear in mind the obvious
truth that even the most refined statistical methods and the
most advanced computers cannot give better results than the
initial information permits.

In many connections one can discover that the computer and
mathematical models function as administrative fetishes,
scaring the critics away. We must not put ourselves in a
situation where we could be suspected or accused for being
fetishists in this respect, however unjust.

The Report states on page 9 that the attention is concentrated
on the departmental level, and gives as one reason for this
that the dependence upon political and social environmental

factors becomes increasingly pronounced at higher levels.
The Report argues that this is not unduely biased.

This approach is perhaps not "unduely" biased but anyhow
"biased". If a university is subjected to strong external
influence and is a centralised university, the departments
as well will be dependent - through the university - upon
"political environmental factors".

Further we may have a university with a very low degree
of centralisation, and with low dependence upon external
factors, but with a department controlled by external
groups, or in which loyalty is committed to external
groups, industrial, political or others.

I have concentrated on this as an introductory example
of the unduely oversimplification of the organisational
phenomen: A university. In the Methodological Programme
the Report (p.12) explains that a whole institusion is viewed
as a single system within an external environment. This is
an oversimplification, and some comments are needed.

I imagine that the members of the advisory group will
remember the expression "Multiversity", perhaps with some-
what mixed feelings. When Clark Kerr coined that expression[6]
he observed that "The university started as a single
community - a community of masters and students. It may
even be said to have had a soul in the sense of a central
animating principle. To-day the large American university
is, rather, a whole series of communities and activities
held together by a common name, a common governing board
and related purposes".

Kerr says that a community should have common interests;
in the multiversity they are varied, even conflicting.

Kerr writes:

"Flexner thought of a university as an "organism". In an
organism, the parts and the whole are inextricably bound
together. Not so the multiversity - many parts can be
added and subtracted with little effect on the whole or
even little notice taken or any blood spilled. It is ...
a mechanism held together by administrative rules and
powered by money".

Another model of the university is presented by John Millet.[7]
He advocates the idea that the university has goals and
objectives which bind together the university community.

"The concept of community presupposes an organization in which
functions are differentiated and in which specialization must
be brought together in a harmonius whole. But this process
of bringing together, of coordination if you will, is
achieved not through a structure of superordination of
persons and groups but through a dynamic of consensus".

6) Clark Kerr, The Uses of the University, Harvard University Press

7) John Millet: The Academic Community, McGraw-Hill.

The two models are in many respects conflicting, and in many respects antithetical and antagonistic.

For the benefit of some organisational clarification I will draw attention to the two organisational concepts "federal" and "unitary".

One of the most important questions which confronts the universities is whether Clark Kerr is right, or, to put it differently, if we should allow him to become right. Personally, I think that many universities are more "federal" than "unitary", but with strong "unitary" sub-units. This is, however, not the immediately relevant point. The important point is that this problem should not be so easily by-passed as in the Final Report.

In the section called "Selection of Measures" (p.17) it is said that the methods used in compiling the list of measures were

"(a) a search through the literature on administration and education, selecting recurrent terms which appared relevant in the context of this study".

I have a feeling that the author has overstated the claim. In the time allowed for the project it cannot have been possible to go through the "literature on administration and education". On the other hand, I have a feeling that the project would have benefitted from a somewhat more extensive literature study. In the next section I will return to this question.

The report quotes the list of measures compiled and states in this connection that (p. 18), "the proposed list did meet with the general acceptance of the administrators to whom it was presented".

Personnaly I recall scepticism being voiced, but the comments on the measures may rest until the meeting in October.
(The principle for postponing the discussions and comments concerning the details of the report, nothwithstanding I would like to express the view that the content of page 50 could in itself be a great temptation to proceed with the investigations).

Concerning the conclusion (ii) on page 38, I will - if we for a moment, and for this project, introduce cost-benefit considerations -, advise against further refinements of the data at hand.

In the introduction to the Behavioural Approach (p. 65) it is stated that

"The task in this instance would therefore appear to be to establish what the goals of a University are and to set up some criteria by which to measure the degree to which any particular Institution achieves those goals. From the pilot work undertaken in the present project it is quite clear that this cannot be done, at any rate not without a very sophisticated analysis both of the term "goals" and the term "University".

I would like to point out that this was clear before "the present project" was started.

Further, I have a feeling that we are obtaining very little
if we use "teaching and research" as the goals of the uni-
versities in the sense done on page 66. It is hardly more
illuminating than saying that "The goal of life is life".

There are some other self evident "conclusions" which I
find of very little interest. On page 68 the Report draws
the conclusion that,

"ideally for greatest effectiveness a University should assign
decision making to roles but that these roles should have
charisma attached thereto and should, hopefully, be occupied
by charismatic individuals".

This is like saying that the system should be good and that
the people in it should be just as good.

If asked where the Behavioural Approach did take us, I feel
tempted to say "nowhere".

The part of the Report labelled "Extension of Behavioural
Approach" falls in my view somewhat beside the present project,
and I am a bit confused about the intention behind that exer-
cise. There are general statements that in my view vastly
oversimplify the problems. I will point at some of these.

On page 83 the first paragraph touches the question of
"the wholeness" of a university, and I refer to my comments
earlier on the "multiversity". On the same page the
relation between the Academic staff and the professional
Administration is condensed in the question: "Who should
function for whom"?. I find this question very misleading,
and I think it implies a false dichotomy. The administra-
tion is an essential part of a modern university, and any
other view would be reactionary.

The assumptions on page 86 concerning who should make
decisions concerning the "long term health" of the univer-
sity, "solve" in a couple of sentences all the problems
of democratic representation and government principles
within the universities.

Conflicts generating from these problems have literally turned
several universities upside-down. I find it difficult to
accept that the off-hand conclusions in the report are justified.

After these few comments on some specific parts of the
Final Report, and saving the details for the October meeting,
I would like to conclude this section by asking, once again:

"What did we get?"

We got a Report which brought us firmly down to the earth
if we had left it in a momentary illusion of getting
very much for very little.

When we take into account the small amount invested, the
result justifies the costs and the work so far. We have got
a well established cooperation and a dialogue between a
research group and university administrator. This situation
of cooperation and dialogue is in itself the founding stone for
further progress.

We have even obtained more. We have developed a mutual
understanding and respect. This is very much the benefit
of the research group, which has shown an openness and
willingness to expose their strong and weak sides which
established trust.

From the Report I borrow an evaluation (p. 91) which I
make my own:

"It is suggested that in this respect the lessons and
experience gained and recorded as a result of the project
were extremely valuable".

WHAT DO WE DO NOW?

The question of what we got stimulates another question,
What we didn't get - and why not? We did not get any meaning-
ful results, in the sense of results indicating suitable
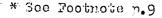amendments to existing practice.

I think the main reasons for this somewhat meagre result
could be summarized in the following points:

1) The research team has its strength in OR, and its weakness
   in the insight in the theory and practice of university
   administration.

2) The time allowed for adjustment of the project was limited.
   Most of the advice given by the representatives of the
   universities could not be taken into account, due to the
   time schedule.

3) The background study of the literature on university-
   organisation and administration was not carried far enough.

4) Within the universities there exists a vital group which,
   so far, are completely excluded from the project. The
   students, in my opinion, ought to function as one of the
   groups of reference in the project, even if this may
   create problems. This should be evident from the fact
   that the essential task-system in education contains tea-
   chers and students.

I am in some doubt whether to recommend to go on with this
investigation or not. It is clear enough that a substantial
amount of work has to be put in from persons acquainted with
university administration. In order to suggest this I think
it is necessary to feel that the project has a fair chance
of becoming a success.

I think the following procedure would justify a continued
effort within the problem-area of this project.

1) A more systematic study of the literature has to be made.
   And the project has to be put in context with on-going
   and executed research. The list of reference in the
   Final Report clearly indicates the need for this.

* See Footnote p.9

I'll give some examples of useful works in this field.
The university as an organisation is discussed very
stimulating in a publication by A.K. Rice 8)

In contrast to the theoretical study made by Rice I'll
mention the report on university goals made by a commission
at the Oregon State University 9). The report is an
useful example of university self-evaluation. In a
recently published book by Fielden and Lockwood 10) one
will find a useful bibliography.

This is a few and random examples taken from the English-
language sphere.

2) A reference group of administrators should be established.
Among the members of this group there should be persons
with excellent knowledge of university administration in
various countries. Some of them may even be aquainted
with OR methodology.

In this way one of the main weaknesses of this project
may be overcome. The reference group will act as advisers.
The research team will have the professional responsibility.

3) A plan for the next phase of the project has to be drafted
in contact and close cooperation with the administrative
reference group.

4) The proposed project must be presented to the members of
the IMHE-programme for comments and suggestions.

5) Time for amendments, according to the discussion of the
project-draft, has to be allowed.

6) Execution of the project can take place at the various
universities, in cooperation with the administrative
reference group.

This programme is clearly time- and work consuming, but the
task of securing a "spring of hope" instead of a "winter of
despair" for higher education cannot be brought to a happy
end without considerable effort.

8) Rice A.K., The Modern University. A Model Organization.
Tavistock, 1970.

9) Report to the President of Oregon State University from
the Commission on University Goals, Corvallis, Oregon, 1970.

10) Fielden, I. and Lookwood, G., Planning and Management in
Universities, Sussex, 1973.

PART III: CONCLUDING REMARKS

In the final version of the final report, the project team
has eliminated some of the statements which are critisized
in the Preliminary Evaluation Report. The final report, as
it is now presented, is a very much improved version of the
report presented at the October meeting. The project team
is viewing the university much more realistic. They take
into account the "multiversity" concept, and accept the
problem of federal versus unitary organisations. The report,
as it is now presented, is much more careful in presenting
statements concerning how a university should be governed.

The main weakness of the project cannot - however - be solved
by a re-writing of the report. The project intends to find out
something about the effectiveness of university structures.
The work done is concentrated on the departmental level. It
is not at all clear that conclusions concerning a university
can be drawn from results emerging from research at depart-
mental level.

In the final report the project leader, Prof. Rivett draws
the following conclusions:

In Mr. Lars Thulin's preliminary evaluation of this report, he
pinpointed four critical questions against which this work
should be judged:

(a) What did we want ?
(b) What did we get ?
(c) Was it worth it ?
(d) Where do we go from here ?

We can draw our conclusions under these four headings.

(a) What did we want ?

Our first requirement was to create, to validate, and possibly
revise a methodology which would help to establish measures
of administrative effectiveness and structure. We found,
once we started serious research, that the project was more
difficult than we had at first sight envisaged. This was
not only because of its novelty, which meant there was no
previous work to which reference could be made, but also
because of the difficulty of obtaining on-going data. It
would be wise to emphasize that we did not anticipate the
present project yielding conclusive results. At this stage
the emphasis was upon the creation of a valid methodology.

In order to accomplish this aim two parallel approaches were
tried. The first one was to use the established guide lines
of behavioural science to develop an understanding of the
goals towards which universities are perceived to work. This
led to derivation of ranking measures. However, this approach
tended to be an academic one and kept within the established
methodology of the social sciences. Such an approach, by
acknowledging the limitations of any methodology concerning
the behaviour of people, meant that it did not lead either
to a useful - in an applied sense - classification of
structure, or of quantitative measures of effectiveness.

The other approach was a systematic analysis which has led, we suggest, towards the establishment of a practicable and profitable methodology.

(b) What did we get ?

As can be seen from (a), the main burden of these conclusions will draw upon the statistical results of the Systems Approach, although we should emphasize that useful quantification is much more powerful when placed within the fabric of behavioural understanding. Notwithstanding the reservations with which we started the study, we found that the Systems Approach worked well and produced concrete measures and measuring techniques upon which comparative assessments could be rigorously based. (See II 8). Also, it should be noted that there remains some analysis to be carried out on the survey questionnaires which should produce interesting additional results.

(c) Was it worth it ?

The budget for this project was £ 4,000 which is only a small part of the administration costs of any single university. We feel that the results have more than justified this modest investment. Moreover, the stimulation of the interest of administrators in such a large number of international universities has ensured that the seeds of further research should fall on fertile ground.

(d) Where do we go from here ?

Proposals for further research along the lines of the Systems Approach are given in II 9. These, together with the rest of the report itself and the material in the Annexes, should enable interested parties to continue the methodology. In particular, we would hope that the "interested parties" would comprise a research team and a set of co-operating and co-ordinated institutions. The research team ideally would contain at least one experienced administrator and at least one statistician. The institutions themselves need not come from different countries, since the methodology proved capable of isolating differences within countries.

Such interested parties would then repeat the basic programme of the Systems Approach (see II 2) in the light of the amendments and amplifications detailed in II 9. We feel that such a project will yield original, interesting, and exciting results.

However, commitment to further research need not be so total, and several more modest proposals are offered at the end of II 9. For instance, much would be gained from a broader circulation of Departmental Procedures 2 and the Administrative questionnaires as they now stand. In particular, variations between Departments and Faculties within each institution could be investigated in addition to inter-institutional comparison.

Regarding the Behavioural Approach, we suggest that in
principle the methodology is a sound one, but its application
needs further work before its direct utilization can be
realized. An essential feature of this approach is that
it demands acceptable criteria of effectiveness and here it
is suggested that further work would involve a panel of
administrators who would provide those criteria. The ad-
vantage of this would be twofold: the criteria would,
presumably, be at a very applied level and in addition the
need to appeal to non-university organisational theorists
for justification would be reduced.

In the light of the experience gained in this pilot project,
we feel confident in asserting the viability and worth of
continued research in the field, at least along the lines
established by the Systems Approach.

As an Evaluator, presenting a recommendation concerning how
the work in this field could be continued, I would like to
summarize as follows:

1. A more systematic study of the litterature has to be
made. The project has to be put in context with ongoing
and executed research in the field.

2. A reference group of administrators should be established.
The reference group will act as advisors. The research team
will have the professional responsibility.

3. The research should be focused on more than one depart-
ment. The aim must be to cover the university as such.

4. The Systems Approach should be preferred as method.
The Behavioural Approach has to be developed further
before it can be used in a practical project.

5. The next phase of the project has to be drafted in close
contact and co-operation with the administrative reference
group.

6. The proposed project must be presented to the members
of the IMHE-programme for comments, suggestions and approval.

7. Time for amendments according to discussion of the
project draft has to be allowed.

8. Execution of the project can take place at the various
universities, in co-operation with the administrative
reference group members.