

**THE IMPACT OF PROFESSIONALISM ON ORGANISATIONAL EFFECTIVENESS:
A CASE STUDY OF THE NOTTING HILL CARNIVAL, LONDON, 1989 to 2002**

Volume I of II

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Carnival is So Much More than just a Party !



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PREAMBLE

This thesis is submitted in partial fulfilment of the requirements for the University of Salford's Professional Doctorate in the Built Environment. It aims to highlight and illustrate the importance and value of professionalism in management and does so by means of an illustrative case study that demonstrates the impact of professionalism on organisational effectiveness within the context of the Notting Hill Carnival. Thus, in order to meet its aim, the research provides a critical and historical review and analysis of the organisational management and development of the annual Notting Hill Carnival, London.

Excluding the appendices, the report consists of a single body of work that has been laid out over thirteen chapters. For ease of reference, these chapters have been broken down into sections and sub-sections which have been appropriately numbered.

The research aim and objectives and methodological considerations have been addressed in chapters 1 and 2. As an important prerequisite of the research, the researcher has addressed the issues of insider research with the researcher as the research instrument. The focus and unit of analysis of the research concerns the period in the history of the Notting Hill Carnival, 1989 to 2002, when the researcher was its Chairperson and Chief Executive. Additionally, the researcher is a long-standing member of the community of interest, the carnival community; and is from the particular ethnic and cultural group that celebrates the Carnival and its traditions in this particular form, in "celebration of freedom".

Similarly, the issue of ethics has been addressed as an issue of importance, since the research was conducted in a social setting where the researcher has been resident for over forty years. The research involved interaction with a wide selection of participants from the community who freely expressed their views. The researcher enjoyed good access to participants of the research, who placed great trust in her to represent their views fairly and accurately. The names of participants which have

been included appear either with their consent, or because the name is relevant for the purpose of identification or attribution to a particular position they held. The review is a view from within and is based on the researcher's practice in action in the management and development of the Notting Hill Carnival.

In the interest of authenticity and the need to reflect the high regard, significance and importance attached to the Notting Hill Carnival by its carnival community, whenever reference is made specifically to the Notting Hill Carnival as a whole, a social system, the word carnival is written with a capital "C" and the definite article "the" is often omitted. Thus, the Carnival is at times referred to simply as "Carnival" in much the same way in which one refers to "Easter" or "Christmas" or "Remembrance Day".

ABSTRACT

According to the literature, organisational effectiveness within both the private and public sectors is significantly impaired by mismanagement stemming from low levels of professionalism within the management process. This in turn is said to lead to high levels of organisational failure.

Within the thesis this concept of professionalism in management is taken to comprise four elements: firstly, a common sense of organisational purpose; secondly, relevant professional knowledge; thirdly, behaviour which is appropriate to the situation; and finally, stakeholders' expectations. All of these, in turn, are seen to be associated with various approaches adopted by professional bodies.

The research explores how aspects of professionalism in management can be employed to achieve organisational effectiveness in a failing organisation. Specifically, it will focus on the role that the integration of effort, capability and expertise can play in contributing to this goal.

It does so through the vehicle of a qualitative case study which examines the impact of management systems and approaches employed within a single organisation. The chosen organisation is the Notting Hill Carnival Trust, the charitable organisation with responsibility for the strategic and operational management of London's Notting Hill Carnival. The study is confined to the years between 1989 and 2002 which represented a critical period of change for the Carnival, and one which was characterised by a revolution in the Trust's approach to management.

The research found that the new approaches employed by the Trust during this period had a significant effect on the attainment of organisational effectiveness, as demonstrated by improvements in financial stability, credibility, reputation and improved stakeholder relations. The process of change is demonstrated to have been characterised by the professionalisation of its management team and its willingness and ability to learn and adapt to achieve success and change.

The research is therefore consistent with the existing literature on the importance of professionalism in management. Furthermore, it highlights the requirement for high levels of specialised training, professional standards and accountability, thus drawing attention to the important role played by the professional bodies in achieving organisational effectiveness. In so doing the research makes a contribution to the existing literature by conceptualising the importance of professionalism in this way, and in demonstrating how management theory, practice and education can benefit from placing greater reliance on these aspects in the future.

Key words:

Carnival, Notting Hill, management, professionalism, organisational effectiveness, stakeholder management, operational management, strategic management

THE MECHANISMS OF PROFESSIONAL MANAGEMENT

1.1. Introduction

This chapter defines and explains the concept of professionalism in management and demonstrates how it was employed to revitalise the management of the Notting Hill Carnival, London, from 1989 to 2002. It presents the research aim and objectives and shows how the integration of effort, capability and expertise of professionalism can produce new knowledge to make success of a failing management organisation. It further demonstrates how the mechanisms of professionalisation can be employed to effectively deal with the problem of multi-stakeholder management in a challenging and complex carnival environment. This involves the application of the four dimensions of professionalism: “purpose”, “knowledge”, “behaviour” and “expectations”. It examines the suggestion that it is difficult to define organisational effectiveness by simply looking at the policies and practices of an organisation. It also examines or assesses the role of the professional management bodies or associations in supporting professional management in the UK.

1.2. The Concept of Professionalism

1.2.1. Definition and Framework of Professionalism

Despite the increased popularity of the Notting Hill Carnival in its early years, the level of professionalism within its management was considered very amateurish.

As this thesis will show, few of those involved in the management of the Carnival

in its early years seemed aware of “the magnitude of planning, management, financial, logistics, safety and security tasks now involved. Carnival is now very big business. Its problems are not going to be solved by a traditionally British half-hearted approach” (Coopers & Lybrand, 1988, p.5). The authors also suggested that commitment to improvement was lacking from all parties and recommended that all parties should commit themselves wholeheartedly to Carnival and to its success, and work constructively together to that end. Our key thesis is based on the fact that professionalism in the management of Carnival needed to be revitalised because the costs and damage caused by managerial amateurism were damaging the Carnival. Several academics (Drucker, 1974; Fayol, 1949; Follett, 1927; Taylor, 1911) conceive of management as a science-based professional activity that serves the greater good.

Not only did the Carnival’s management demonstrate amateurism in a situation where professionalism was seriously needed, but also there was no idea of what professionalism entailed. This view is not particularly unique to the Notting Hill Carnival. It is noted that many of the large banks on Wall Street that failed so badly in the fall of 2008 were managed by people demonstrating anything but professionalism, resulting in mismanagement of risks and a one-dimensional focus on short-term profitability. Beer (2009) observed that the chief executive officers of these organisations strayed from their strategies and took unwise and

unsustainable risks, thus ignoring potential long-term consequences. Many other companies have also been observed to have suffered from mismanagement and lack of direction. According to a number of writers (Cooper, 2008; Fox, 2003; Kay, 2014; LawBrain, 2014) these companies include: ICI, Global Crossing, Enron, AOL Time Warner, Kmart, Xerox and many others.

1.2.2. The Dimensions of Professionalism

In simple terms, professionalism is said to have four dimensions or levels. These are classified as: “purpose”, “knowledge”, “behaviour” and “expectation” (Romme, 2016, pp.4-5). Despotidou and Prastacos (2012, p.437) say that at the heart of any profession is a shared sense of “purpose”, a “commitment to a good broader than self-interest”; and that it is this that facilitates conversation between highly different voices in the profession and communicates what the profession is essentially about. Abbot (1988, p.318) points to the dimension of “knowledge” which the profession can claim and draw on. The knowledge is enshrined in the values which guide professional conduct and performance. Romme (2016, p.4) describes the “behavioural dimension” as referring to the division, co-ordination and organisation of the workflow, and by monitoring the quality of the work and accounting for performance. He also describes the “expectation” dimension as being concerned with what a variety of stakeholders expects of the profession. A well hinged profession is expected to raise high expectations among internal as well as external stakeholders.

It is argued that the level of professionalism demonstrated by directors, managers and administrators is not the only determinant of organisational effectiveness. Thus, there are a variety of institutional, cultural, macro-economic and other mechanisms and conditions which affect organisational effectiveness and performance. For example, at the Notting Hill Carnival, the calm and skillful attitude of one of its major stakeholders was instrumental in the ability of the Notting Hill Carnival Trust (NCT) to maintain a high level of professionalism. But, Kenworthy and McMullan (2013) suggest that if we consider the factors and variables that managers and their stakeholders do to a large extent to influence, if not control, then all the studied examples of mismanagement appear to have a common denominator: the low level of professionalism among managers who struggle to meet the growing demands and expectations of employees, investors and many other stakeholders. We are told that the vast majority of assessments and decisions made by executive and other general managers are highly amateurish, compared to how well-qualified professionals make-up their minds and take decisions. According to Nutt (1999, 2011) about half of the managerial decisions made in organisations fail. Haney and Sirbasku (2011) also say that most managers fail to effectively lead and motivate their staff. In addition, some authors (Argyris, 2004; Argyris, Putnam & Smith, 1985) point out that what they actually do is not consistent with what they say they do.

1.3. Professional Management at the Notting Hill Carnival Trust

1.3.1. The Requirement for Professional Management

The fact that the overall level of professionalism at the Notting Hill Carnival was rather low and any attempt to revitalise it had been abandoned through sheer intimidation and threats, it followed that the aim at raising the professionalism must incorporate all of the four dimensions of professionalism because of the peculiar nature and structure of the Carnival. Without an active role in promoting science-based professionalism, the initiatives and changes in the management culture were doomed to fail. The main interest here was in general management with the focus on change management, strategic management, financial management and related areas. These managerial efforts were at the heart of how the NCT was transformed to create value through the co-ordination of people and resources. Therefore, this approach was central to the professional management of the NCT. The broader systemic issue was the employment of management professionals and consultants for the development of integral management approaches in the context of the requirements of the Carnival. Ghoshal (2005) says it is not a good idea to focus on partial aspects of management that propagate economic thinking at the cost of moral responsibility.

1.3.2. The Nature of Professional Management

The idea of management as a profession was not confined to a few people at the top of the Notting Hill Carnival Trust. This approach was necessary because the concept was that professional management is as much about the knowledge and evidence informing professionalism as it is about the people using the knowledge. Romme (2016) says that a new category of management systems is currently emerging, whereby leadership is not confined to a few people at the top but distributed throughout the organisation. It was also envisaged that the reputation of the Carnival hinged largely on its financial stability. Thus, professionalism and the related concepts became coupled to the financial performance and other outcomes of the NCT. In other words, the ability to accomplish the financial goals was equated with performance and results. The implications of this approach on the professional scale is summed up by Teece (2007) and Zahra et al. (2006) who say that if the organisation performs at a superior level in terms of, for example, profitability, then the leadership of the organisation apparently possesses a large professional capability; if this performance is not superior, its leadership apparently scores lower on professionalism.

1.3.3. Designing Professional Management Solutions

It is recognised that a gap exists between brilliant management solutions and the translation of these solutions into practical and profitable management actions. Despite the persistence of the problem and its increasing importance, there has been little hard-fact research on either causes or cures. The saying goes that

“experience is the best teacher”. Our own experience at the Notting Hill Carnival made it possible to examine the factors which made for implementation success and to share those factors with the disciplines in the field of management science solutions.

According to the academic literature, the definition of professionalism serves to characterise the current state of the management discipline and that definition in itself does not provide any directions toward future solutions whether through theoretical experiment or by learning through practice. At the Notting Hill Carnival, we were driven by creative discovery and design based on a challenging multi-stakeholder management. Simon (1996, p.111) argued that “design” is at the heart of the business and management discipline. In other words, engineers are not the only professional designers because “everyone designs who devises courses of action aimed at changing existing situations into preferred ones. The intellectual activity that produces material artefacts is no different fundamentally from the one that prescribes remedies for a sick patient, or the one that devises a new sales plan for a company or a social welfare policy for a state”.

Thus, the twin pillars of discovery and design were the basis or the architecture of the management solutions developed for the revitalisation of the management of the Notting Hill Carnival. Khurana and Spender (2012, para. 1) maintain that discovery and designing are the paths out of the “intellectual stasis” that currently characterises the field of management. In this respect, discovery and design were the tailoring of some existing management practices to solve given

or specific carnival management problems with no side effects. For example, reputation was treated as a resource because once a good reputation was established it was a source of very high returns when all the necessary ordinary resources were in place to support it. One such ordinary resource was the formidable financial reserve creation policy of the NCT. Perhaps, another manifestation of the importance of reputation is branding. Branded products live or die by reputation. A strong brand can be incredibly valuable, as was demonstrated by the NCT from 1989 to 2002. This was an example of the hallmark of professionalism which drove the Notting Hill Carnival through a cocktail of purpose, knowledge and discovery. Schon (1979) provides an example of how purpose, knowledge, and discovery interact to create a fresh perspective by observing a group of designers trying to improve the performance of a paintbrush made of synthetic bristles.

1.3.4. Key Problems of Professional Management

Professional management at the Notting Hill Carnival came under a cloud of suspicion because many of the key stakeholders did not believe that the Carnival had the capacity to tread a professional path. For example, on the publication of the first Carnival Development and Business Plan, the management was asked to prove the importance and necessity for a Carnival Plan, and also to defend the quality and integrity of the Plan. This was because the advent of professionalism in the management of the Carnival was highly contested because it undermined and threatened the status quo. Further, in the absence of

a formal body of knowledge and elaborate regulatory mechanisms, it would make no sense to pursue professionalism in management.

It is noted that established professions such as accounting, law and medicine draw on a formal body of knowledge shared by all members of the profession, monitor behaviour and performance of these members, regulate entry to the profession, and so forth (Barker, 2010). The professional management team of the Carnival comprised experts from the legal, accounting, marketing and other relevant and related areas. But, Sullivan (2000) and Suddably et al. (2009) observe that professional work in some of these areas continues to be highly contested, and that the nature and context of work in the established professions is still evolving in often unpredictable ways.

As at the Notting Hill Carnival, professionals in these areas are increasingly employed in corporate or other organisational settings (Evetts, 2011). According to Muzio and Kirkpatrick (2011) many accountants, legal experts and medical doctors increasingly find themselves torn between their professional commitment and their loyalty and commitment to the organisation paying their salary. It is also argued that these tensions are fundamental to all professional work in organisational settings, and we cannot make them go away by simply abandoning the journey toward professionalisation. In its effort to maintain the balance between the two continua, the Notting Hill Carnival engaged the services of a credible and reputable audit and accounting firm PricewaterhouseCoopers, as its watchdog. Thus, the revitalisation of professionalism in the management of the Carnival became a success story.

This is more than a philosophical matter because the audit and accounting firm itself was a collection of professions in an organisational setting.

1.3.5. The Multi-Stakeholder Management Challenges

In view of the peculiar nature of the carnival management organisation, the multi-stakeholder approach to its management became a prominent issue. The multi-stakeholder perspective was about the employment of measures and interventions that reduced the risks and negative effects impacting the Carnival. Advocates of this approach include Freeman (1984), Martin (2011) and Kay (2014) who believe that managers should balance the interests of all stakeholders. They are “all those interest groups, parties, actors, claimants and institutions – both internal and external to the corporation – that exert a hold on the organisation” (Mitroff, 1983, p.4). In order to develop and maintain the organisational effectiveness and the reputation of the Notting Hill Carnival Trust, the Carnival was considered as a social institution and the development of its activities was promoted in the interest of all the Carnival’s stakeholders, both internal and external.

The measures and interventions focused on the quality of the composition of the Board of Directors; the quality of the management team; and the quality of the relationship between the organisation and the internal stakeholders and all the external stakeholders. The major problem was that there was not enough of successful examples in the management of such a large crowd of stakeholders with varying and different interests. Freeman, Harrison and Wicks (2007) and

Kay (2014) point to the fact that the multi-stakeholder approach, as the antithesis of the shareholder value approach, is less developed in terms of legal entities, organisational designs, and other guidelines. Nayar (2010) and O'Grady (2014) also say that most practical solutions arising from the stakeholder approach focus on a single stakeholder, such as employees. The issue of multi-stakeholder management at the Notting Hill Carnival was essentially about the purpose of governance and management. The behaviour of some of the powerful external stakeholders of the Carnival suggest that the unresolved nature of the role of these stakeholders would continue to have major consequences for a carnival owned by the community. These powerful external stakeholders have no other stake in the Notting Hill Carnival than a statutory one. The carnival community who owns the Carnival started to face challenges when it defined the purpose and objectives of the carnival organisation and developed management systems and processes to realise these objectives. The carnival management organisation benefited from the professional capability to define and accomplish its organisational purposes and objectives, and was effectively held accountable by the Carnival's stakeholders and other constituencies.

1.3.6. Managing Key and Powerful Stakeholders

The management systems at the Notting Hill Carnival were developed with the view to balance the interests of all interest groups at the Carnival. As such, the multi-stakeholder perspective had a strong ethical foundation on which the whole management approaches was built. According to the academic literature, the key

constructs in the multi-stakeholder approaches include ethical leadership, stakeholder power, stakeholder interest, legitimacy, urgency and salience (Mitchell, Agle & Wood 1997; Freeman et al., 2007). Additionally, Freeman (1984) also pointed out that a number of theoretical sources are at play in this field, and examples are systems theory, organisation theory, corporate social responsibility and corporate planning. It is further argued that this intellectual base may also account for the various descriptive, instrumental as well as normative models that have been developed. For example, Mitchell et al. (1997, p.872) have derived a key typology with descriptive as well as normative properties:

first, that managers who want to achieve certain ends pay particular kinds of attention to various classes of stakeholders.

second, that managers' perceptions dictate stakeholder salience;

third, that the various classes of stakeholders might be identified based upon the possession, or the attributed possession of one, two or all three of the attributes: power, legitimacy, and urgency.

In the multi-stakeholder management approaches, it is important to understand the implications of each type of stakeholder in terms of its salience and other conditions under which the relationship is conducted. In relation to the carnival management organisation and its relationships to its multi-stakeholders, the following points are worth considering for an understanding of the issues it faced (Mitchell et al., 1997, p.872):

power is the extent to which the stakeholder has the means to impose its will in the relationship with the organisation;

legitimacy refers to a general perception or assumption that the actions of the incumbent stakeholder “are desirable, proper, or appropriate”;

urgency is about the degree to which claims of the stakeholder are so time sensitive and critical that they require immediate attention.

The view of the intellectual world is that as a philosophy of management, and despite the broad scope of this type of multi-stakeholder model, most practical solutions for embracing stakeholder interests focus on only a single type of stakeholder, such as customers or employees (Cheney, 2000; Nayar, 2010). The key challenge in practising the multi-stakeholder approach at the Notting Hill Carnival was how to actually balance the interests of the key external stakeholders such as the Royal Borough of Kensington and Chelsea (RBK&C) and the Greater London Authority (GLA), whose interests in the Carnival were crowded with political ambitions. Therefore, the tendency was towards laborious negotiations driven by tools designed for mapping stakeholders’ interests, understanding the needs and strategies of key stakeholders and creating modes of amicable interaction with them for the purpose of organisational stability.

1.4. The Attainment of Organisational Effectiveness

1.4.1. The Role of Professional Management Staff

The professionalisation of the management of the Notting Hill Carnival was one big challenge which proved the theory that management should become a profession that serves the greater good by connecting and co-ordinating people

and resources to create value that no single individual can create alone (Romme, 2016). The absence of professionalism was not peculiar only to the Notting Hill Carnival. According to the academic literature, non-professionalism can be observed in many organisations in the world. Recent cases highlighted by Flyvberg (2013) include the mismanagement of mega-projects such as the Berlin Brandenburg Airport, San Francisco Transbay Terminal, the 2014 Soccer World Cup in Brazil, and the 2014 Winter Olympics in Russia. It is argued that the level of professionalism in organisations is not the only determinant of organisational effectiveness. There are other mechanisms and conditions which affect organisational viability and performance. But Kenworthy and McMullan (2013) maintain that in the majority of cases studied, they have a common denominator: the low level of professionalism among managers who struggle and often fail to meet the growing demands of their stakeholders.

As noted earlier, the key to this thesis is that professionalism in management needs serious consideration because the societal costs and damage caused by managerial amateurism are huge and considerable, affecting all organisational sectors. Romme (2016) states that the quest for professionalism is, in fact a grand societal challenge that requires a collective and sustained response. The Notting Hill Carnival experience is an ample demonstration of the impact of professionalism on its organisational structures and systems. It was an integration of effort, capability and expertise to produce the appropriate professional knowledge that fit the circumstances of the Carnival.

At the heart of this approach was the professional expertise derived from a member of the Bar of England and Wales, the Chartered Institute of Management Accountants, the Institute of Chartered Secretaries and Administrators, the Chartered Institute of Marketing, and also from external agencies like the auditors PricewaterhouseCoopers, the law firm Wegg-Prosser and Farmer, and the Association for Business Sponsorship of the Arts (ABSA). The combination and direction of these professional inputs created what academics call a “shared sense of purpose and responsibility toward society” (Romme, 2016, p.9). This may be expressed in different ways in different professions. Muller and Gewirtzman (2004) in commenting on how this translates amongst civil engineers, state that civil engineers share a sense of purpose regarding the reliability, robustness and user convenience of the roads, bridges, tunnels, docks and other artefacts they design and create. Miles (2004) argues that the respect for human life and the commitment to heal people, expressed in the Hippocratic oath, reflects the sense of purpose and responsibility among medical professions.

Even though these professionals worked for the Notting Hill Carnival Trust, they remained regulated by the rules of their respective professional bodies. But, Timmons (2011) observes that the traditional conception of professional work as being heavily regulated is also very appealing. The professionalisation of the carnival management organisation, however dwelt heavily on the discipline of its professionals which derived from their association with their respective bodies. We deem this to be a major factor making for implementation success or the attainment of organisational effectiveness for the benefits of all the internal and

external stakeholders of the Carnival. Thus, one can use professional values and standards to measure the performance of the carnival management organisation. To support or substantiate this viewpoint, we can borrow a prototype statement of the purpose and responsibility of management and its scholarship (Romme, 2016, pp.39-57):

Management should be(come) a profession that serves the greater good by bringing people and resources together to create value that no single individual can create alone. In this profession:

practicing and knowing co-constitute each other;

professionals share an interest in outcomes and implications, and are committed to learning to see things from different perspectives;

professional development is fuelled by a pluralism of voices as well as dialogical encounters between different voices.

The key to this thesis is how these organisations are managed. Managerial efforts are at the heart of how organisations create value by co-ordinating people and resources. This is said to be central to management as a profession. Romme (2016, p.2) states that despite the high expectations and ambitions of the early pioneers, the level of professionalism within management today is rather low. He suggests that “many organisations are managed by people demonstrating anything but professionalism, resulting in mismanagement of risks as well as a one-dimensional focus on short-term results”. We are aware of the manifestation of professionalism at the Notting Hill Carnival from 1989 to 2002. As a result, we decided to conceptualise the argument around the more fundamental challenges of professionalism based on the experience of the Notting Hill Carnival. The success of the Notting Hill Carnival was driven by a

shared professional purpose and knowledge and by professionals who were regulated by their respective professional bodies or associations. These professional bodies can be characterised as conduits for management education and practice. This implies that the professional bodies are the driving force behind any development or improvement of the management profession at large.

Romme (2016) argues that the professionalisation of management is a good societal challenge, on par with other challenges such as climate change. This means that the management profession would need to rest on a systematic body of knowledge, standards of professional conduct, and other components of a curriculum informed by rigorous science. Whether these competencies can be achieved or realised without the influence of the professional bodies is debateable. Simon (1991) says that since the 1960s, many business schools have been repositioning and reshaping their educational and research programmes, with the initial intention to transform management education and scholarship in the direction of “science-based professionalism”. The established professions such as accounting and law are often equated with conditions and regulations for entry to the profession as well as sanctions and penalties regarding unprofessional conduct. The assertion is that this relationship inspires and guides them to perform and deliver their best. This raises the question of how we can sustain such a virtuous circle for improvement in management.

1.4.2. Implementation Success

It might be useful to comment on the suggestion that it is difficult to define organisational effectiveness by simply looking at the policies and practices of an organisation. With this in mind, we undertook a broad analysis of the main factors which made for the implementation success of the NCT. To do this, we need criteria that will assist our ability to predict the relevance of our success factors and share them with other organisations by way of lessons learned. It became obvious that if we should dwell largely on the policies and practices as the factors that made for implementation success, we could be defeated by the contingency theory found in the field of management accounting. The basis of the theory is that to design effective management accounting control systems, it is necessary to consider the circumstances in which they will be used. Otley (1980) states that there is no universally best management accounting control system which can be applied to all organisations. The applicability of a management accounting control system is contingent on the circumstances faced by organisations. Similarly, the policies and practices which underpinned the organisational effectiveness at the Notting Hill Carnival cannot be super-imposed willy-nilly on other organisations.

For the most part, we were committed to pragmatic and practical applications of a wide range of advanced techniques that incorporated all the appropriate tools of management science. If we codify or convert the hard-earned problem-solving techniques in this field into predictive techniques that should help other organisations and people in management to make more knowledgeable decisions, the net of the contingency theory will catch most of them. We note

that the “real” or empirical world is usually understood by super-imposing upon it a theoretical framework that is more abstract and that purports to mirror the relevant variables. The scientific management framework, which is close to the empirical world, has been explored and found to be incomplete in helping us to understand much of the organisation. The point that may be worthwhile to emphasise is that the management problems and solutions covered by this research are assumed to exist (in varying degrees) in all complex organisations. They are hypothesised to occur, no matter what the specific nature of the organisation. But more importantly, the problem of non-professionalism is said to be the common denominator in all organisations that suffer from mismanagement. Hence, our focus on the concept of professionalism in management.

1.5. The Value of Professional Management Bodies

1.5.1. Professional Management Bodies and Business Schools

The professionalisation of the management of the Notting Hill Carnival raises questions about the definition of management as a profession and the role of management education and professional management bodies. The observation of the academic literature is that many business schools have been repositioning and reshaping their curricula and research programs in the direction of science-based professionalism, but have ended up focusing on academic scholarship and education at the expense of professional relevance.

Thus, the idea that management is a profession is highly debateable. Barker (2010, p.52) argues that, unlike lawyers and medical doctors, managers do not adhere to a universal and enforceable code of conduct defined by professional bodies. It is suggested that “the abilities and learning required to be a good manager don’t lend themselves to such oversight, and that business education is more about acquiring the skill of integration than about mastering a set of knowledge”. But the situation of the Notting Hill Carnival hinged on the employment of legal, accounting and marketing experts who belonged to various professional bodies. It was this team of management professionals who employed and applied tried and tested management techniques, as demonstrated by the case study, to solve the very important problems that the organisation had to come to grips with. Consequently, management can be considered a profession since all the experts at the Notting Hill Carnival were members of their respective professional bodies.

The question then to be asked is: “What is the definition of a profession?” Abbot (1988, p.318) defines professions as “somewhat exclusive groups of individuals applying somewhat abstract knowledge to particular cases”. It is said that he adopts this rather loose definition because a profession is not objectively definable in view of its (perceived) power and status in society. Profession is also defined as a “vocation founded upon specialised knowledge and training” (Romme, 2016, p.26). The key elements in this definition are “specialised knowledge” and “specialised training” which evidently relate to the professional bodies. Professional bodies are said to be organisations whose members are

individual professionals. The professional body may have a number of functions which include:

Set and assess professional examinations;

Provide support for Continuing Professional Development through learning opportunities and tools for recording and planning;

Publish professional journals or magazines;

Provide networks for professionals to meet and discuss their field of expertise;

Issue a Code of Conduct to guide professional behaviour;

Deal with complaints against professionals and implement disciplinary procedures;

Be enabling of fairer access to the professions, so that people from all backgrounds can become professionals;

Provide careers support and opportunities for students, graduates and people already working.

1.5.2. The Contribution of Professional Bodies

Jackson (1970, p.4) maintains that some level of specialised training in the intellectual tradition of the discipline serves to guide professional behaviour and performance, and also provides a sense of authority and competence to the profession. Business and management schools educate managers and engage in management research to build the knowledge base for these educational efforts. But, we are told that the knowledge and skills one gets from completing an educational programme only partly determine the “specialised knowledge” required. That in any professional domain, specialised knowledge is partly also

tacit and experiential in nature, involving knowledge and insights arising from on-the-job training and experiences (Wilensky, 1964). A major characteristic feature of a profession is discipline which is pivotal in any attempt to understand behaviour and performance in organisational and societal settings. The established professional management bodies in the UK have developed regulatory mechanisms for accrediting and controlling its members and their professional activities. The regulatory mechanisms of these management professional bodies serve to protect the profession and control the entry to the profession, and thereby sustain their high level of performance.

The definition of a profession adopted is based on the Notting Hill Carnival experience from 1989 to 2002. It was not merely professionalism for the sake of professionalism but “knowledge-based professionalism”. It was a very productive experience in which the advantages of the professional management bodies were exploited to revitalise the carnival’s management organisation. This research seeks to highlight the contribution that professional management makes to society through their variety of roles and responsibilities within organisations. It also touches on several key qualities that define professional management. As observed earlier by Romme (2016) in his call for professionalism in management, this is a worthy call because the societal costs and damage caused by managerial amateurism are huge.

A 2015 report by the Chartered Institute of Building found that professional bodies add huge value to society. They play an unsung role in promoting trust in British society and creating value in ways that score high on the current political

agenda, such as productivity and social mobility. They add significant value in five ways, notably:

- (i) **Productivity** – through increasing the capability of the workforce by promoting best practice and sharing the latest advancements;
- (ii) **Social mobility** – by providing routes to entry for all and in providing trusted qualifications that remain open to individuals at any point within their career;
- (iii) **Governance and ethics** – by setting standards for behaviour and competence and sanctioning those who contravene them;
- (iv) **International development** – by exporting qualifications and professional services via growing international networks;
- (v) **Policy formation** – by undertaking research which advances understanding of important issues and by sharing specialist knowledge with decision makers.

And, perhaps their greatest value lies in the promotion of trust in society. Public polling found that a vast majority of those who know something about professional bodies agree that they would trust a professional more if they knew that they were a member of a professional body.

1.6. Societal Value of Organisational Excellence

1.6.1. The Importance of Professionalism in Management

The experience of the Notting Hill Carnival suggests that the call for professionalism in management is essentially a call for quality management. A report by the Centre for Economics and Business Research [CEBR] (2012) shows that in 2011, quality management practices contributed £90 billion to Gross Domestic Product (GDP). The report also stated that if quality management programmes had been rolled out as fully as possible throughout the UK economy, then GDP could have been £52 billion higher in 2011. From this report, it can be concluded that professionalism in management matters, and this has also been demonstrated or proved at the Notting Hill Carnival from 1989 to 2002. The management approaches employed offer a philosophy or model of management which is described as the activity of connecting and co-ordinating people and resources to create value that no single individual can create alone. This is the assessment of the overall level of professional management at the Notting Hill Carnival from 1989 to 2002.

We note that there are many examples of highly professional managers and managerial practices but these examples represent small pockets of professional excellence that are exceptions to the rule, and do not reflect the standard case. According to Elias and Scotson (1994, p.181) professionalism is rather low because our ignorance about organisations and managing them “is so great that forms of malfunctioning and the suffering which results from it are ubiquitous and are widely accepted as normal and unavoidable”.

1.7. Research Aim and Objectives

This research aims to highlight the importance of professionalism in management for the attainment and maintenance of organisational effectiveness, and demonstrate how it contributed towards the revitalisation of the Notting Hill Carnival and the achievement of its strategic goals of stability and credibility.

Accordingly, the research objectives are

1. to define and explain the concept of professionalism in management;
2. to highlight the role of professional management bodies in influencing standards of professionalism in management practice;
3. to conduct an in-depth and illustrative case study that would explain professionalism in management at the Notting Hill Carnival, 1989 to 2002;
4. to identify and analyse how professionalism in management was used to revitalise the management organisation of the Notting Hill Carnival from 1989 to 2002;
5. and to establish an understanding of how professionalism in management brought about improvement in strategic decisions; adaptation to change in the carnival environment; increased flexibility and innovation; and commitment to the organisational changes.

1.8. Overview of Chapters

The professionalism idea implies that an integrating conceptual framework should be presented which is consistent with the professionalisation of the management organisation of the Notting Hill Carnival from 1989 to 2002. The research takes a very broad perspective, and it examines and explores several and different ways of the revitalisation process. The following summary of the chapters of the thesis provides a map of the territory covered:

Chapter 1 facilitates understanding of the concept of professionalism in management, and its application for the revitalisation of the management organisation of the Notting Hill Carnival.

Chapter 2 delineates the research methodology. It covers the concepts of “insiderness” and the researcher as the research instrument; the basis of the research; the research design issues; the methods of data collection; and the research criteria and analysis.

Chapter 3 addresses the cultural context of the Notting Hill Carnival by defining the nature and celebration of festivals, and the importance of the arts in society.

Chapter 4 focuses on the origins of the Notting Hill Carnival. It covers the social and cultural influences contributing to its emergence; identifies its multi-cultural Caribbean roots; and provides an outline of its arts and culture.

Chapter 5 turns to the management problems and difficulties of the Carnival, emphasising the spontaneity of the event and the inadequacy and incapability of its management organisations.

Chapter 6 deals with the change management initiatives developed for the improvement of the organisational effectiveness of the Carnival.

Chapter 7 explores the management approaches adopted for the transformation of the organisational and management culture of the carnival management organisation.

Chapter 8 considers the necessity for organisational effectiveness of the carnival management organisation, and explores the concept of organisational effectiveness.

Chapter 9 focuses on the techniques for organisational development, exploring stakeholder strategy formulation and the management of an envisioned future of the Carnival.

Chapter 10 draws on the case for strategy development and direction, dealing with the issues of strategic orientation and design, and strategy implementation and adaptation.

Chapter 11 outlines the approaches to organisational performance measurement by highlighting the key elements of the change management, and strategy evaluation and measurement.

Chapter 12 touches on the perspectives of effective management of relationships by emphasising the purpose of managing social cohesion, and the measurement of the change effectiveness.

Chapter 13 deals with the key findings and conclusions of the research. It covers the essence of organisational effectiveness, and provides a perspective on professionalism in management; the implications and attributes of professionalism; and the future of professionalism in management.

1.9. Concluding Comments

Given that the professionalisation of the Carnival's management was successful, it is deemed necessary to study the nature and characteristics of the elements and level of that professionalisation. Another conceptualised viewpoint is to view the definition of professionalism through the agency of the professional management bodies as outlined above. This serves to characterise the direction of the management discipline toward future solutions with regard to the application of the Notting Hill Carnival Trust model: the reliance on the key qualities that define a profession, and through the agency of professional management bodies. The professional managers distinguished themselves as guardians of the reputation of the organisation and agents for change by transforming processes, behaviour and culture.

The lesson that many can draw from the Notting Hill Carnival is that an organisation is less effective when governance is lax, and when the organisation is not in complete control of its affairs. In other words, professionalism in management is more effective and more fruitful with less interference from external influences in the management of the organisation. Even though the Notting Hill Carnival Trust was a charitable organisation, we believe that its example demonstrates that organisations in the public and private sectors may substantially benefit from attaining high levels of professionalism in management.

An integrating research aim and objectives is presented, and an essential mechanism for the professionalisation of management is identified for discussion

and development. The chapter provides a map of the territory that might give directions for the exploration of the related issues. This part of the chapter invites readers to have a bird's eye view of the scope and structure of the research.

2. RESEARCH METHODOLOGY

2.1. Introduction

This research is conducted within the interdisciplinary field of study of management science which is defined in the literature as a broad interdisciplinary study of problem solving and decision making in human organisations. It involves the application of scientific and systematic procedures, techniques and tools to operational, strategic and policy problems in order to help develop and evaluate solutions to problems encountered within management (Beasley, 2014). The research concerns the purpose and processes of management for the achievement of organisational effectiveness. Conceptually, the research draws on the definitions of management as an art (Appley, 1956; Lilienthal, 1967; Mintzberg, 1973); as a science (Taylor, 2011); and as a practice (Drucker, 2007).

The research is based on the researcher's practice in the management and development of the Notting Hill Carnival, 1989 to 2002; and the Notting Hill Carnival Roadshow, 2002 to present. Its focus is on the period 1989 to 2002. Accordingly, the strategies, policies, tools, methods and techniques applied to problem solving and decision-making for the revitalisation of the management organisation of the Notting Hill Carnival, 1989 to 2002, are critically evaluated and analysed within the context of an illustrative case study to determine their contribution to organisational effectiveness.

The literature shows that the nature and level of professionalism in management are currently under scrutiny because of the increasingly high levels of organisational failure across all organisational sectors. This, it is said, is due to mismanagement in organisations where managers demonstrate anything but professionalism. Thus, the need for professionalism in management is critical; a quest; and “a grand societal challenge that requires a collective and sustained response” (Romme, 2016, p.3). The research not only aims to highlight the importance of professionalism in management but also to illustrate its meaning, and how it was achieved within the organisational setting of the Notting Hill Carnival Trust (NCT).

2.2. Basis of the Research

The research process follows the classical approach. It starts with the identification of the research issue and the research question through an exploratory analysis, followed by the research design, the execution of the research methodology and the data analysis from which conclusions are drawn (Eisenhardt, 1989). Choosing the right methodology is of fundamental importance to the research process (Mertens, 1998). Academic literature emphasises that methodology is there “to make it credible to the reader that you have planned and carried through your study as well as analysed and drawn conclusions in a way that we can rely on what you write” (Karlsson, 2002, p.141).

The central thesis of the research is that professionalism in management is of utmost importance to organisational effectiveness, and should be given greater

and more serious consideration within organisational settings, because the societal costs and damage caused by managerial amateurism are huge and considerable. Professionalism in management is proffered as an approach, though not on its own, for achieving organisational effectiveness. Professionalism is defined by its four dimensions of “purpose”, “knowledge”, “behaviour” and “expectation”. It requires management effort and commitment towards creating value through the co-ordination of people and resources. It also requires “specialised knowledge”, “specialised training”, “professional standards” and “accountability” which may be facilitated through professional bodies as important conduits for quality management education and practice.

2.2.1. The Research Issue

The rationale for the research stems from a study of a range of literature on organisational failure and reasons for it. The common denominator identified for organisational failure is low levels of professionalism in management, manifested in mismanagement and leading to organisational failure. It has been observed that management literature on the quality of professionalism in management does not necessarily highlight the different routes towards training, either through management schools or through the professional management bodies, as making a difference towards attaining quality management. Thus, the research contributes to knowledge by creating new understandings of an existing issue. Its emphasis is on the importance of professionalism in management and its value towards organisational success.

2.2.2. The Research Context

The research utilises the qualitative case study design to illustrate professionalism in management and its impact on organisational effectiveness. Thus, it provides an in-depth and illustrative study of the system, policies, strategies, methods, tools, and techniques used in the revitalisation of the management organisation of the Notting Hill Carnival, 1989 to 2002 and its achievement of organisational effectiveness.

A brief description of the Notting Hill Carnival is that of a well-known, popular, multi-cultural, urban arts festival which has catered for millions of people from multiple and diverse backgrounds. As well as being an arts festival, it is a social system that is organised and managed on an all-year-round basis by a community-based management organisation. Its management involves the ability to effectively co-ordinate and manage multiple community groups and their artistic inputs; the facilitation of their performances; and planning for their welfare and continuous artistic development. Managing and organising the Carnival also require liaison and interaction with multiple stakeholders; co-ordinating and managing their expectations of the event and its management; and garnering their support and consent for its continued existence. Most importantly, it involves facilitating the safe and peaceful enjoyment of a participating-audience of over one million people.

Between 1989 and 2002, the Carnival went through a critical period of change during which it was re-structured, planned and managed within a framework of policies and strategies that were aimed at facilitating its organisational

development and effectiveness, and the achievement of its strategic goals of stability and credibility.

2.3. Insider Research

2.3.1. The Researcher's Insider Interest

This is practice based, insider research which adopts an emic approach to the illustrative case study of the management of the Notting Hill Carnival, 1989 to 2002, and in which the researcher is the research instrument, through whom the research is conducted. Thus, the credibility and authenticity of the research are bound with the role, knowledge and qualities of the researcher. The study is based on the period when the researcher was the organisation's chairperson and chief executive officer; and its unit of analysis is the system of management of the carnival management organisation.

As the chairperson and leader of the organisation, the researcher was responsible for developing, sustaining and communicating the organisational vision; leading, coordinating and advising the board of directors; motivating employees; driving change with appropriate decision-making, policy development and implementation; and representing the organisation and the Carnival to the outside world. As the executive manager, the researcher presided over the organisation's day-to-day operations; advised and was accountable to the board of directors; facilitated and mediated policy development and implementation; protected the organisation's interests; and took decisions on its behalf.

The researcher's position as an insider is also represented in the sense described by Griffith (1998), as someone whose biography gives them a lived familiarity with the group being researched. Bulmer (1982, p.259) refers to this type of insider as the "native insider", a term used to describe a researcher from the group under study, as opposed to the "overt insider", referring to a researcher who becomes an insider. The insider status of the researcher is evidenced by the degree of her familiarity with and involvement in the Carnival and its setting for over a period of 40 years; her role and responsibilities in the leadership, management and development of the event; and her membership of the particular ethnic group that culturally owns the Carnival (Holloway and Wheeler, 1996; Pugh et al., 2000).

2.3.2. Researcher as the Research Instrument

The concept of the researcher as the research instrument stems from the work of Lincoln and Guba (1985). It is based on the understanding of the uniqueness of the researcher's role in the process of scientific inquiry. This uniqueness lies in the notion that only people construct and bring meaning into the world through their qualities of sensitivity, responsiveness and flexibility, making them the most appropriate instrument for inquiries aiming to arrive at understanding, meaning the promotion of critical awareness, emancipation and movement toward deconstruction or decolonisation. Barrett (2007) suggests that this concept accentuates the distinctive function of the researcher's knowledge, perspective, and subjectivity in data acquisition, with data analysis and interpretation. Data

analysis and interpretation are thus intertwined, relying upon the researcher's logic, artistry, imagination, clarity and knowledge of the field under study. However, the researcher as the instrument can also be the Achilles heel and threat to trustworthiness of research if not properly or skillfully handled (Poggenpoel & Myburgh, 2003).

2.3.3. The Challenges of Insider Research

Insider research is acknowledged to have several identifiable advantages. These include (a) having greater understanding of the culture being studied (Hannabus, 2000); (b) not altering the flow of social interaction unnaturally (Hockey, 1993); (c) having an established intimacy which promotes both the telling and the judging of truth; and (d) having access to information first-hand. Being an insider researcher also helps to reduce many of the problems associated with researching in the real world. Issues such as any ethical concerns, as suggested by Bonner and Tolhurst (2002) can be overcome by establishing an early rapport with subjects. However, Hammersley (1993) suggests that there are no overwhelming advantages or disadvantages to being an insider or an outsider and that each position has its advantages and disadvantages.

It is generally appreciated that being an insider researcher presents challenges stemming from the ambiguities and conflicts of the dual roles of the researcher. Nevertheless, insider action researchers still need to build on the closeness they have with the setting, while at the same time create distance from it in order to see things critically and enable changes to happen (Coghlan, 2007). Costley,

Elliott and Gibbs (2010) found that real challenges may be encountered simply due to the familiarity of relationships.

On the other hand, Hockey (1993, p.199) cautions against insider researchers' presumptions that their "partialness" of knowledge reflects the full picture of the researched location. "Overfamiliarity" and "taken-for-granted assumptions" are therefore pitfalls to be avoided (Maier and Monahan, 2010). Others, (Griffin, 1985; Robson, 2002) similarly warn the insider researcher against preconceptions about issues and solutions. Bousetta (1997) suggests that while closeness between the researcher and the subject is helpful, it can also harm the research process, making it incomplete. In some cases, important information is simply not divulged (de Tona, 2006). The insider may be more likely to take things for granted, develop myopia and assume their own perspective is far more widespread than is the case (Brekhus, 1998). The researcher may feel inhibited from raising the sensitive topic (Preedy and Riches, 1988); and assumptions might not be challenged (Hockey, 1993).

Various authors (Christensen and Dahl, 1997; Hockey, 1993; Labaree, 2002; Mercer, 2007; Narayan, 1993) contribute to the view of "insiderness" and "outsiderness" as a continuum rather than a dichotomy, and as end points existing in conceptualisation rather than fact. Le Gallais (2003, p.15) concluded that "there can be no absolutes with regard to insider/outsider research; there is only a question of degree". Mercer (2007, p.12), likens conducting insider research to "wielding a double-edge sword". What the researcher gains in terms of their extensive and intimate knowledge of the culture may be lost in terms of

their myopia and their inability to make the familiar strange, and this may affect its validity.

Merton (1972) whilst acknowledging the shortcomings of insider research in respect of its validity, also suggests that the doctrine makes assumptions about the capacity of the outsider to comprehend alien groups. Nevertheless, he considers both doctrines to be fallacies and concluded that the fact that the researcher has certain attributes in common with the individuals being researched, does not of itself make the data any richer. Recent community-based studies (Israel et al.,1998; Kerstetter, 2012; Stringer, 2007) have explored the outsider/insider debate and the positionality of the researcher. The authors conclude that the status and positionality of the researcher makes little difference to the validity and quality of the research. More importantly, it is the rigor that one applies during the processes of data collection and analysis rather than the positionality of the researcher.

2.3.4. Issues of Validity and Insider Research

Insider research has tended to attract questions about its validity that is thought to be threatened by the researcher's involvement with the subject of study (Kvale, 1995). Arguments about validity and the requirement of objectivity have been conducted within the outsider and insider doctrines. The outsider doctrine posits that the validity or quality of research is bound with the objectivity of the researcher. Simmel (1950) suggests that only the neutral outsider can achieve an objective account of human interaction, because only he or she possesses

the appropriate degree of distance and detachment from the subjects of the research. Or who, as suggested by Burgess (1984) can stand back and abstract material from the research experience. On the other hand, the insider doctrine holds that outsider researchers will never truly understand a culture or situation if they have not experienced it; and that insider researchers are uniquely positioned to understand the experiences of groups of which they are members (Rooney, 2005).

This research is practice based and simultaneously draws on the lived experience and knowledge of the researcher as an active local community leader in Notting Hill since 1973. It can be assumed that the researcher has naturally, consciously or unconsciously, brought to the research setting her own predispositions, assumptions and beliefs because of her roles in the community and the organisation under study. This experience places the researcher in an advantageous position to reliably and credibly interpret and analyse the data intellectually, and by drawing on her own tacit knowledge of the relationships and interactions. Whilst this is arguably the strength of the research, it is acknowledged that it does leave the researcher open to accusations of subjectivity or bias.

Many authors view the researcher's self as a productive part of the research process (Heron & Reason, 1997; Reinharz, 1979). Peshkin (1988, p.18) argues that subjectivity "is the basis of researchers making a distinctive contribution, one that results from the unique configuration of their personal qualities joined to the data they have collected". On the other hand, others (Denzin, 1989; Mehra,

2002; Scheurich, 1994) argue that affinity and subjectivity put researchers at a disadvantage by limiting their ability to “accidentally” step into the realm of the phenomenon under study beyond their personal understanding or experiencing of it. Lave and Kvale (1995) support the view that the researcher’s own life and experiences can be considered the best instruments for acquiring knowledge about research informants’ social and cultural worlds. Furthermore, subjectivity and drawing on one’s inner experiences can be used to get closer to the informants in order to understand them better (Rennie, 1994; Schneider, 1999).

The issue of objectivity is a challenging one for researchers generally, since our experiences and the meanings we attribute to them are shaped by our backgrounds, the environment in which we live, the culture in which we function and the people with whom we interact (Hammersley, 2007; Le Gallais, 2003). Bell (1993) acknowledged it as an impossible goal which the researcher must nonetheless strive to attain.

Taking into consideration the obvious and overwhelming value of insider research, the researcher has sought to meet its challenges by demonstrating an appropriate degree of objectivity in data collection and analysis. Adherence to the requirement for objectivity is demonstrated by the researcher being explicit about her position and connection with the case, and acknowledging bias and values. It is to be further demonstrated in the critical analysis of data within the specified research criteria; through the use of multiple research techniques of reflexivity and triangulation on a confirmatory basis; and by placing reliance on the literature to corroborate conceptualisations.

2.4. Research Design

2.4.1. Choosing the Appropriate Design

The function of the research design is to ensure that evidence gathered enables the answering of the research problem. According to Yin (1989) it deals with a logical problem in which the evidence must address the initial research question. The research is designed to highlight the importance of professionalism in organisational management and illustrate its impact on organisational effectiveness. Its design is qualitative because its findings are not to be arrived at by means of statistical procedures or other means of quantification (Strauss and Corbin, 1990). Its findings will focus on illuminating the qualities of data rather than their numeric measurement. Thus, the qualitative design has been selected because of the qualitative nature of the research problem; the appropriateness of the qualitative case study design, method, data collection and analysis techniques to elucidate the facts; and the emphasis on exploring, illuminating and understanding the subjective meanings and interpretations ascribed to the research issue.

2.4.2. Philosophical Underpinnings

It is generally understood that to be considered serious academic research from which there could be learning, research must be conducted within one of the established and generally accepted paradigms. These have been defined as the underlying assumptions and intellectual structure upon which research and development in a field of inquiry is based (Kuhn, 1962); a world view; a general perspective; and a way of breaking down the complexity of the real world (Patton, 1990). They include concepts or thought patterns, theories, research methods, postulates, and standards which Guba (1990) describes as an interpretative framework which is guided by a set of beliefs and feelings about the world and how it should be understood and studied. The paradigm is one of the three pillars of the research design which, according to Creswell (2009) involves the intersection of philosophy, strategies of enquiry and specific methods which form the plan or proposal for the research.

The research is conducted from the philosophical and ontological standpoint of the assumptions, concepts and values of the constructivist paradigm of qualitative research which asserts that reality is subjective; multiple as seen by participants in the study; is socially constructed; and is continually being accomplished by the social actors. This is an assumption which Crotty (1998) places in the context of the natural instinct of humans to engage with their world and make sense of it based on their historical and social perspectives.

The research's epistemological standpoint, as defined by the relationship of the researcher with the research, is interactive and grounded in the

constructivist/interpretivist paradigm which posits that the researcher's values are inherent in all phases of the research process. An emic approach has been adopted, with the researcher being able to fully interact and engage with the research context and process.

Methodologically, the process of the research is holistic, descriptive, interpretative and analytical of various events, conceptions and definitions of the research and the methods used to achieve the outcomes. The language of the research, otherwise known as its rhetorical assumption, is largely informal, discursive, interpretative, written with a view towards facilitating ease of understanding and be reflective of the mode and views of the research subjects.

2.5. Strategy for Addressing the Research Issue

2.5.1. Staged Approach

The research aim and objectives are to be achieved by engaging with the literature; using a qualitative case study methodology; and interpretative analysis. This approach has been adopted because it enables an holistic exploration of the research issue. The choice of the case study research methodology stems from "the distinctive need ... to understand complex social phenomena" (Yin, 2008, p.4).

The research is conducted in stages, consistent with its aim and objectives. The first stage uses the related literature to provide a discussion of the conceptual framework of professionalism in management. It defines professionalism, the

different routes towards achieving it, its value and impacts. In order to illustrate professionalism in management, a case study is undertaken of the Notting Hill Carnival and its management organisation: the unit of analysis being its system of management, 1989 to 2002.

Finally, in presentation of its thesis, the study provides an interpretative analysis of the management system, policies, strategies, methods, techniques and processes of the Carnival that were designed and implemented within a framework of established management theories and practice, for implementation success and the attainment of organisational effectiveness. The research findings are analysed and conclusions drawn within an interpretative framework of professionalism in management, facilitating understanding of how professionalism contributed to improvement in strategic decisions; adaptation to change in the Carnival environment through increased flexibility and innovation; and commitment to the organisational changes.

2.5.2. Reflexivity

The research is conducted using the technique of reflexivity. It aims to draw attention to the complex relationship between processes of knowledge production and the various contexts of such processes, as well as the involvement of the researcher (Whittemore, Chase & Mandle, 2001). Reflexivity has two parts. In the first part the researcher draws on her own experiences with the case under study. The second part involves the researcher being self-conscious about how these experiences may potentially have shaped the

findings, the conclusions, and the interpretations drawn in the study. These two elements, as observed by Creswell (2013) are not mutually exclusive for, in order to interpret one has first to reflect.

Reflection is to be understood in the sense defined in the work of Alvesson and Sköldbberg (2009) as the interpretation of interpretation and the launching of critical self-exploration of one's own interpretations of empirical material (including its construction). It is the process in which the centre of gravity is shifted from the handling of empirical material towards, as far as possible, a consideration of the perceptual, cognitive, theoretical, linguistic, (inter)textual, political and cultural circumstances that form the backdrop to, as well as impregnate the interpretations. Being reflexive is critical to the research process and is considered part of being honest and ethically mature (Ruby, 1980).

The use of reflexivity has also been associated with an increased risk of bias and diminished objectivity. This is probably inevitable, argued Steedman (1991, p.53) because "knowledge cannot be separated from the knower". Known academics (Creswell, 2013; Hammersley and Atkinson, 1995; Richardson, 1994) stress that these criticisms can be addressed by the researcher being positioned in the research as early as possible and declaring the biases, values and experiences being brought to it. Given the nature of the research and in order to address objectivity, reflexivity was organised and conducted in frequent and set "reflexive sessions" with other management staff of the organisation, so that other views could be taken into account in order to achieve balanced and integrated interpretation and analysis.

2.5.3. Triangulation

Triangulation has been used as a tool of data collection in order to enhance the validity and credibility of the research, address and overcome issues of bias, and facilitate deeper understanding. It is based on the premises that a single method can never adequately shed light on a phenomenon; that using multiple methods can help to facilitate deeper understanding; and that the mixing of data or methods enables diverse viewpoints or standpoints to cast light upon the topic (Olsen, 2004). The intention underlying the use of triangulation is to decrease, negate or counter-balance the deficiency of a single strategy, thereby increasing the ability to interpret the findings (Thurmond, 2001).

The literature identifies two purposes for triangulation: confirmation of data and completeness of data (Jick, 1979; Shih, 1998). Confirmation is a process of examining and comparing data gathered from multiple sources to explore the extent to which findings converge or are confirmed. Thus, a researcher who uses triangulation for confirmation could have increased confidence in the credibility of findings when data gathered through different methods are found to be consistent (Knafl, Ayres & Breitmayer, 1993). Completeness of data is concerned with gathering multiple perspectives from a variety of sources, so that as complete a picture as possible of phenomena can be built and the varied dimensions revealed (Shih, 1998). This, Jick (1979) suggests, enables a more holistic and contextual portrayal of phenomena which may enrich understanding.

Triangulation is used here in the sense originally applied to research methodology by Campbell and Fiske (1959) as the use of multiple methods in

the study of the same phenomenon, because validity always requires multiple methods and multiple data sources. It is also used in the sense defined by others (Denzin, 1970; Patton, 1990) of data triangulation or triangulation of sources, by retrieving and examining data from a number of different sources from within the same method; and of theoretical or perspective triangulation, using multiple theoretical perspectives to examine or interpret data. Using multiple source types also serves to underpin methodological triangulation, objectivity and validity of the research, placing it within the academic domain (Leech & Onwuegbuzie, 2007). Triangulation is viewed as a constructive process that presents several important opportunities and benefits. Halcomb and Andrew (2005) suggest that triangulation has the potential to yield more comprehensive, insightful data; and Foss and Ellefsen (2002) argue that it can produce richer and more authentic data.

Denzin (1978) recommends the use of triangulation, since using a combination of methods allows the researcher to achieve the best of each method while simultaneously overcoming the deficiencies of each method. It can stimulate the creation of inventive methods, and new ways of capturing a problem to balance with conventional data collection methods. Triangulation is known to help overcome the bias inherent in single-method research studies (Boyd, 2001; Erzerber and Prein, 1997; Jick, 1979; Thurmond, 2001). The use of multi-methods of triangulation can lead to the creation, synthesis or integration of theories and helps to rule out rival explanations (De Vos, 1998; Jick, 1979; Miles and Huberman, 1994).

Leech and Onwuegbuzie (2007) stress the importance of using multiple sources of data and suggest two major goals for doing so. They are representation and legitimation. Legitimation refers to the credibility, trustworthiness, dependability, confirmability, and/or transferability of syntheses made; and representation, refers to the ability to extract adequate meaning from the information at hand.

Whilst the academic view is that triangulation serves to enhance the research validity (Campbell and Fiske, 1959; Silverman, 2001) its shortcomings may include the fact that replication is exceedingly difficult; it may not be suitable for all research; and it may not necessarily reduce bias (Fielding & Fielding, 1986). There may be other constraints such as time and costs that may prevent its effective use. Triangulation helps the researcher guard against the accusation that a study's findings are simply an artefact of a single method, a single source or a single investigator's bias (Angers & Machtmes, 2005; Patton, 1990). Above all, triangulation demands creativity from its user; ingenuity in collecting data; and insightful interpretation of data (Phillips, 1971). Yin (2008) describes triangulation as a major strength of case study data collection that allows the investigator to address a broader range of historical and behavioural issues. Though the preponderance of views is that triangulation has vital strengths and encourages productive research, Oberst (1993) cautions that too many researchers fail to make apparent how triangulation has been achieved.

Thus, the research uses multiple methods of data collection and theoretical triangulation. The main methods of data collection are qualitative case study, literature review, document analysis and participant observation. Each is outlined

in turn below. The aim in using multiple data collection methods and triangulating data, is to provide methodological triangulation in which there could be a confluence of evidence that enhances the reliability and validity of the analyses and thus the overall credibility of the research (Eisner,1991; Grix 2001). Theoretical triangulation is demonstrated in the analysis.

2.6. The Collection of Case Study Evidence

2.6.1. Multiple Sources of Data Collection

The objective here is to collect data about the actual organisational functions and behaviours of the carnival management organisation from 1989 to 2002. In the main, this approach dealt with the “how” and “why” questions of the case study using multiple sources of evidence to identify, analyse and explain the professionalisation of the management organisation of the Notting Hill Carnival. This task is based entirely on the documentary evidence and archival records of the organisation, and our observation of and participation in the actual revitalisation effort over a period of 13 years. The focus of this approach is the research objectives three and four which are concerned with the manner of the revitalisation process and its achievements. The purpose of the case study is not to develop a new theory, but to test the existing theory in relation to professionalism in management. The data required for this approach is based on

the review of the academic literature which relates to the definition and practices of professionalism in management.

Yin (2009) also says that a complete research design requires the development of a theoretical framework for the case study that is to be conducted. The use of theory in doing case studies is an immense aid in defining the appropriate research design and data collection. The same theoretical orientation also becomes the main vehicle for generalising the results of the case study. The main focus of this approach is research objectives one, two and five. Yin (2009) further says that in addition to the attention given to the sources of evidence, some overriding principles are important to any data collection effort in doing case studies. He has emphasised that the incorporation of these principles into case study will increase its quality substantially. These include the use of:

- (a) Multiple sources of evidence (evidence from two or more sources converging on the same facts or findings)
- (b) A case study database (a formal assembly of evidence distinct from the final case study report)
- (c) A chain of evidence which links the questions asked, the data collected, and the conclusions drawn.

Data collection was approached from the standpoint of the need to gather good information that would be relevant to support the research's aim and objectives and adhere to the established principles of data collection and analysis of

credibility, validity, reliability, objectivity and their various forms. The multiple sources of data provided the opportunity to address a broad array of issues, establish converging lines of inquiry and support a more strategic management research focus.

2.6.2. The Instrumental Case Study

The research objectives three, four and five are addressed using the qualitative case study design. Case study is considered a complete research strategy which includes the logic of design, techniques for collecting data and specific approaches and criteria for analysing it. As such, its suitability for this research stems from its ability to enable a detailed investigation of the case within its setting and an holistic approach towards its analysis that demonstrates the researcher's capacity for understanding and interpreting the results (Gummesson, 2000).

In general, case study is a research strategy that can be used to achieve many aims. The main aim is to facilitate the conduct of an in-depth study of a case in which an issue could be illuminated and the case used instrumentally to illustrate it (Grandy, 2010). This form of case study known as the instrumental or intrinsic case study, is used to accomplish something other than understanding a particular situation (Stake, 1995). Even though the case is explanatory of the processes, it is of secondary interest to understanding the particular phenomenon of professionalism in management.

Kjellen and Soderman (1980, pp.30-36 cited in Gummesson, 2000, p.85) suggest the use of case study research to generate theory and as a means for initiating change. They state that if a change process is going to succeed the researcher must have fundamental knowledge of the studied organisation and its actors; must have an ability to develop a language and concepts appropriate to the specific case; and must concentrate on processes likely to lead to understanding.

Woodside (2010) states that the main objective of case study research is to facilitate deep understanding. This is required in order to learn the subjective significance of persons and events occurring in a case study and the linkages and underlying paths among concept variables identified in a case. Achieving deep understanding may involve various approaches and methods. This can be done through the use of triangulation using multiple research methods (Denzin, 1978); through research to learn the mental models of the participants from their emic representation of reality (Garcia, 1992; Godina & McCoy, 2000; Saville-Troike, 1989); and by focusing on the causes, events and outcomes relevant in a case that enable the researcher's etic representation of reality (Huff, 1990; Senge, 1990). Using the case study method, researchers are able to seek a deep understanding by directly observing in real-time and when possible by asking case participants (Arnould & Wallendorf, 1994).

The research uses the single case design due to the uniqueness and revelatory nature of the case (Yin, 2008). The design enables the provision of an holistic analysis of the case and the use of theory or conceptual categories to guide the

research and analysis, thereby adding to the research validity (Hartley, 1994; Meyer, 2001). The case study is bounded by place and time and is designed to be illustrative of the power, capability and importance of professionalism in management by means of an holistic and historical analysis of the Carnival's system of management, 1989 to 2002.

The use of the case study design with an emphasis on triangulation has enabled the researcher to address known criticisms that are generally levelled at case study research. The criticisms of lacking reliability, lacking generalisability and demonstrating bias are able to be addressed through methodological, data and theoretical triangulation thereby adding depth and breadth to the research, and contributing toward enhancing its validity, objectivity and credibility (Stake, 2005; Yin, 2008). Flyvberg (2006) argues that formal generalisation is only one of many ways by which people gain and accumulate knowledge. A purely descriptive, phenomenological case study without any attempt to generalise can certainly be of value in this process of knowledge accumulation and has often helped cut a path toward scientific innovation. Its overall value lies in its proximity to reality, and the learning process which it generates for the researcher which will often constitute a prerequisite for advanced understanding (Myers, 2000). The consensus amongst academics is that though inherently challenging, the research case study can, if carefully conceptualised and thoughtfully undertaken and reported, yield powerful insights into many important aspects of the case and facilitate deep understanding.

2.6.3. Managing Case Study Data

In implementing the case study method, a substantial database was created. This was possible because of developments in computer technology and software that enabled storage of many types of data within the same database; the maintenance of a chain of evidence; and facilitate ease of access to materials. By compiling such a database, the researcher has contributed to improving the accessibility of information and documents of the case study, some of which were sourced from private papers and records of individuals and entrusted to the researcher. These steps were intended to make the process as explicit as possible so that the results would reflect a concern for construct validity and for reliability (Yin, 2008).

2.6.4. Literature Search and Review

To some meaningful extent, the literature review method is designed to accomplish all the five objectives of the research, to a meaningful degree. Particularly, it fits well with objectives one and five where the generality and complexity of the research are add-on objectives. For a study focusing on describing, explaining and predicting management processes and dynamics, literature review coupled with actual organisational events are sufficient in achieving generality and accuracy. Eisenhardt (1989) informs “that case study is a research which focuses on understanding the dynamics present within single settings ... Moreover, case studies can employ an embedded design, that is, multiple levels of analysis within a single study (Yin, 1994).

The literature search and review are said to represent the most important steps in the research process (Boote & Beile, 2005; Combs, Bustamante, & Onwuegbuzie, 2010). The process was conducted using multiple sources of literature, with the concept of literature being expanded beyond pre-existing print and digital information (Onwuegbuzie et al., 2012).

The first phase of the literature search was for literature to establish the conceptual framework and scope of the research, and provide a discussion of the concept of professionalism in management. To this end, a wide range of literature was obtained from both academic, professional bodies and industry sources.

The second phase of the literature search and review focused on the importance and value of the arts and festivals in society, to establish the cultural context in which the Notting Hill Carnival case study is discussed for its contribution to the arts. The search also included literature sourced from the Caribbean on the origins and culture of the Caribbean Carnival, as essential background information to facilitate understanding of the deep cultural significance and importance of the celebration of Carnival, in Notting Hill.

A significant find in the search for literature was a series of radio broadcasts from the London Broadcast Corporation/Independent Radio News [LBC/IRN] that formed part of the collection of the British Universities Film and Video Council which was accessible via the internet. The collection contained contemporaneous interviews with a range of Carnival's stakeholders from 1976

to present day. These interviews and commentaries are raw data which were analysed and used corroboratively to enhancing the reliability and credibility of the research.

2.6.5. Document Analysis

According to Yin (2009) in case study research, everything must be done to make sure that the analysis is of the highest quality. He points out four principles which must underlie all good case study research. These are:

- (a) Attendance to all the evidence
- (b) Address all major rival interpretations
- (c) Address the most significant aspect of the case study
- (d) Use your own prior expert knowledge

In line with all the objectives of the research, our data analysis demonstrates awareness of current thinking and discourse about professionalism in management. The study explains one aspect or another of the revitalisation process of the carnival management organisation and highlights theoretical models that are presumed to have not only explanatory but also predictive powers.

Document analysis was of fundamental importance to the conduct of the research and the achievement of its objectives. The aim was to meet some of the basic objectives of a literature search and review, notably: to distinguish between what has been done from what needs to be done; to synthesise and

provide a new perspective by identifying relationships between ideas and practice; to establish the context of the topic or problem, rationalising its significance and enhancing and acquiring the subject vocabulary; to provide understanding of the structure of the subject by relating ideas and theory to applications; to identify the main methodologies and research techniques that have been used; and to place the research in a historical context to show familiarity with contemporary developments on the subject (Boote & Beile, 2005; Gray, 2014; Hart, 2009; Leech & Onwuegbuzie, 2007).

As a research technique, document analysis is particularly applicable to qualitative case studies. It includes the analysis of established literature and non-technical literature such as reports and internal correspondence as a potential source of empirical data (Stake, 1995; Yin, 1994). The rationale for its use in the research lies in its role in methodological and data triangulation; the immense value of documents in case study research; and its potential usefulness as a stand-alone method (Denzin, 1970). Its use is particularly appropriate to this research since some of the events being studied are historic and the documents were contemporaneously prepared. They were generated by various organisational stakeholders, including the researcher. Some documents were not formally published, but have been verified by their authors and still provide the most reliable and trustworthy sources of information which can be used corroboratively. Merriam (1988) notes that for historical and cross-cultural research, relying on prior studies may be the only realistic approach.

By definition, a document is an artefact which has as its central feature an inscribed text (Scott, 1990). Atkinson and Coffey (1997, p.47) refer to documents as “social facts” which are produced, shared and used in socially organised ways. They contain text and images that have been recorded without a researcher’s intervention and may range from public, through private to personal documents. Documents may take various forms. Those relied on for this research include: books, brochures, journals, background research papers, organisational and institutional reports, rules and regulations, survey data; agenda and minutes of meetings, manuals, event programs, letters and memoranda, maps, newspapers clippings, newsletters, press releases, magazines, posters, various public records, working papers, photo albums, radio broadcasts, and audio-visual materials.

Documents also include primary documents which refer to eye-witness accounts produced by people who experienced the particular event or the behaviour under study; and secondary documents which are produced by people who were not present at the scene but who received eye-witness accounts to compile the documents, or have read eye-witness accounts (Bailey, 1994). The documentary sources include documents generated by the researcher and colleagues. Support for the use of these documentary sources is provided in the work of Onwuegbuzie et al. (2012, p.7) who question the tendency to limit documentary sources to pre-existing literature and digital sources, arguing that they should include reviews stemming from other sources, such as directly from the researchers, scholars, and practitioners themselves.

2.6.6. The Value of Document Analysis

Document analysis is valued as an important data collection method. Information contained in documents can suggest some questions that need to be asked and situations that need to be observed as part of the research (Goldstein & Reiboldt, 2004). In this regard, Connell, Lynch and Waring (2001) suggest that one of the advantages of document analysis is that documents could provide supplementary research data. Documents provide a means of tracking change and development. Where various drafts of a particular document are accessible, even subtle changes can reflect substantive developments (Yin, 1994). For example, in Carnival the various drafts of the Statement of Intent and Code of Practice and minutes of meetings reflect the level of trust between the lead stakeholders. Bowen (2009) suggests that documents may be the most effective means of gathering data when events can no longer be observed or when informants have forgotten the details. Documents can also be analysed to verify findings or corroborate evidence from other sources (Angrosino & Mays de Pérez, 2000)

Generally, advantages of document analysis include the fact that the documents do not change, unless the document contains statistical data that evolve and change. It requires data selection, instead of data collection. Documents may be readily available and recordable, as many of them are in the public domain. With the advent of technology and the internet, documents could be stored in databases and be made more accessible. The data contained in the documents would already have been gathered, and what remains to be done is for the content and quality of the documents to be evaluated. Documents are

unobtrusive and non-reactive in that they are unaffected by the research process. Reflexivity is not an issue in using the documents for research purposes (Merriam, 1988). The inclusion of exact names, references, and details of events makes documents advantageous in the research process. Documents may provide broad coverage and cover a long span of time, many events and many settings (Yin, 1994).

At the same time, document analysis has its limitations. Documents may contain insufficient detail for the research purpose; and retrievability or access may be deliberately blocked. Documents may also be subject to biased selectivity by the researcher (Yin, 1994). Nevertheless, documents of all types can help the researcher uncover meaning, develop understanding and discover insights relevant to the research problem (Merriam, 1988).

2.6.7. The Process of Document Analysis

The process of document analysis required data being examined and interpreted in order to elicit meaning, gain understanding and develop empirical knowledge (Corbin & Strauss, 2008). It involved skimming (superficial examination), reading (thorough examination), and interpretation. This was an iterative process that combined elements of content analysis and thematic analysis (Fereday & Muir-Cochrane, 2006). It entailed the review of documents, in which meaningful and relevant passages of text or other data were identified and evaluated (Corbin & Strauss, 2008; Strauss & Corbin, 1998). Particular documents relied on include

agenda and minutes of meetings, letters, grant applications, audited accounts, budgets, proposals, codes of practice, and posters.

The analytic procedure entailed finding, selecting, appraising, making sense of and synthesising data. Throughout the process of analysis, there was awareness that whilst documents can be a rich source of data, they needed to be looked at with a critical eye and caution exercised (Bowen, 2009). Criteria applied for assessing documents included the need to determine the relevance of each document to the research problem and purpose; and to ascertain whether its content fit the research, was even (balanced) or uneven (one-sided). Other criteria included: the original purpose of the document; the reason it was produced; and the target audience. Information about the author and provenance of the document were also considered (Webb et al., 1966, cited in Hodder, 2000). The analysis of documents was instrumental in refining ideas, identifying conceptual boundaries, and pinpointing the fit and relevance to the research. It formed an important part of the convergence of information from different sources, and was used to foster greater confidence in the trustworthiness and the credibility of the findings of the research.

2.6.8. The Importance of Participant Observation

As mentioned earlier, a major objective of the research is to collect data about the actual organisational functions and behaviours of the members of the carnival community from 1989 to 2002. This objective aims at capturing perceptions, attitudes and verbal reports about both the organisation and the

members of the carnival community and other stakeholders. Because the case study takes place in the natural setting of the carnival management organisation, the opportunity is created for direct observation as a means of data collection. Observational evidence and participant observation are particularly useful for dealing with research objectives three and four. Participant-observation is regarded as a special mode of observation in which the researcher is not merely a passive observer, but can assume a variety of roles within the case study situation and may actually participate in the events being studied. Yin (2009) has observed that the participant-observation technique has been most frequently used in anthropological studies of different cultural or social groups. The technique also can be used in more everyday settings, such as a large organisation or informal small group.

It is argued that participant-observation provides certain unusual opportunities for collecting case study data, but it also involves major problems. This concerns the ability of the researcher to gain access to events or groups that are otherwise inaccessible to a study. The case study offers the distinctive opportunity in the ability to perceive reality from the viewpoint of a researcher “inside” the case study rather than external to it. It is argued that such a perspective is invaluable in producing an “accurate” portrayal of a case study phenomenon. Thus, in addition to the use of documents, archival records and interviews, there is a direct involvement of the researcher with the case being studied. Becker (1958) says that the major problems related to participant-observation concern the potential biases produced. Yin (2009) has reiterated that the trade-offs between the opportunities and problems must be considered seriously in undertaking any

participant-observation study. Under some circumstances, this approach to case study evidence may be just the right approach, under other circumstances, the credibility of a whole case study project can be threatened.

In addition to the emic perspective from within the management organisation, participant observation also took the form of participating in key carnival groups to gain a close and intimate familiarity with their members and to gain understanding of the impacts of organisational policies, strategies and measures on them. It involved the researcher stepping into the realm of a stakeholder. The researcher is said to intervene in the environment, aimed at observing behaviour that otherwise would not be accessible. Steps were taken to observe, notice, record and try to make sense of actions and events. This aspect of participant observation was conducted intermittently over an extended period and involved data/methodological triangulation through the use of two other data collection techniques of informal interviews and practice in action.

This observational research method is consistent with the qualitative research paradigm. It involved the direct observation of phenomena in their natural setting. Hammersley and Atkinson (1983, p.249) suggest that in a sense, “all social research is a form of participant observation, because we cannot study the social world without being a part of it”. It took the form of unstructured observation, conducted in an open and free manner. It involved direct observation, informal interviews and conversations, participation in the life of the group, collective discussions, analyses of personal documents produced within the group, reflexivity and self-analysis.

Participant observation is described by Howell (1972) as a complex method that has many components. Spradley (1980) identifies five different types of participant observation, namely: non-participatory, in which the researcher has no contact with the population or field of study; passive participation, in which the researcher is only in the bystander role; moderate participation that involves the researcher maintaining a balance between insider and outsider roles; active participation, in which the researcher becomes a member of the group by fully embracing skills and customs for the sake of complete comprehension; and complete participation where the researcher is completely integrated in the population of study beforehand. Of the five types, complete participation is applicable given the insider nature of the research.

Charmaz (2006) supports the value of participation by arguing that without participant observation, the ability to accurately interpret data is compromised. O'Reilly (2009) also supports participation and states that it gives an insight into things people may otherwise forget to mention or would not normally want to discuss. Participation and observation work hand in hand and take place on a continuum from full immersion in the setting or culture to very minimal participation and in which both elements are present. Estroff (1981) suggests that the role of participation is to sensitise oneself to the world of others through experience and through the co-construction of that world.

The dimension of participant observation that took place within a selection of carnival groups, ranged from one day to up to two weeks each year, and

involved eight groups. The researcher took on the role of facilitator for the groups. This involved working alongside the members of the respective group, assisting with general advice, management, raising funds and seeking opportunities for their participation in other events and activities to help them develop, whilst at the same time observing them within their settings. Reflexivity was an important tool of this research method and sessions with group leaders had to be consciously planned and organised to achieve productive outcomes. Other sessions were spontaneous and informal, but nevertheless produced some interesting critiques and insights.

Known limitations of participant observation include the risk that the recorded observations about a group of people or event would be naturally selective, influenced by the researchers' personal beliefs or terms of reference. In respect of the analysis, the researcher's worldview may also influence how he or she interprets and evaluates the data (Atkinson & Hammersley, 1994; Spradley, 1980). O'Reilly (2009) describes participant observation as an oxymoron, a contradiction in terms and a concept with inherent tension. The tension between subjectivity and objectivity; detached observer and participant; group member and ethnographer always remains whether one is literally adapting to a strange and other culture, or observing a parallel culture from a mental distance.

2.6.9. Unstructured and Informal Interviews

Interviews were a key part of the participant observation method. Trochim (2006) describes interviews as being among the most challenging and rewarding forms of measurement. They require a personal sensitivity and adaptability as well as the ability to stay within the bounds of the designed protocol.

Interviewing was of high importance because of the paucity of literature on the system of management of the Notting Hill Carnival prior to the Coopers and Lybrand Report of 1988. Thus, interviews were important for eliciting key information about past events. Of the three interview formats of structured, semi-structured and unstructured interviews, the use of unstructured interviews was preferred by participants, and was appropriate because of the complexities of the wide range of issues to be discussed which were never captured in texts. Unstructured interviews enabled access to a wider field of interviewees; offered the opportunity for interactive and spontaneous discussion of issues; and facilitated better responsiveness from interviewees who displayed fewer inhibitions. Whilst face-to-face interviews have long been the dominant interview technique in the field of qualitative research, Opdenakker (2006) notes that in the last two decades, telephone and other forms of computer mediated interviews and communication have become more common and acceptable. Thus, in addition to face to face interviews, mediated interviews such as by telephone and email were conducted. Mediated interviews were found to be useful for refining issues that arose in the face to face interviews and when physical access to the interviewee was limited.

Recognised shortcomings of unstructured interviews are that they are also associated with a high level of bias, and comparison of answers given by different respondents tended to be difficult due to the differences in formulation of questions. Potts (1990) cautioned that the greatest potential for distorting the research process is present during the research interview or focus group. Both are social interactions; the moderator is clearly a part of that process and must take care not to behave in ways that prejudice responses.

2.6.10. Selecting Interviewees

The selection of interviewees was guided by the overarching consideration of the relevance of their contribution. The objective was to facilitate a broader and credible understanding of the impacts of the management policies and strategies on a range of stakeholders. There was also the need to ensure a balance of views, which would lend to enhancing the research's objectivity, reliability and credibility. The aggregated selection of individuals had to represent a good cross-section of carnivalists that included both male and female, young and old, families and individuals, and people from different ethnic backgrounds to obtain multiple perspectives from a diverse cross-section of the community.

Of equal importance was the reliability and credibility of the individual, as their reliability and credibility are bound to the trustworthiness of the research. Steps were taken to ensure that there could be ease of access to individuals after the research for the purpose of authentication, verification or clarification should the need arise; and most importantly, continuous knowledge-sharing and learning.

Lastly, the size of the selection had to be sufficient to adequately reflect the range of subject areas for the management of the operations of the Carnival.

Interviews that provided opportunities for reflection were conducted with: members of the Board of Directors of the Notting Hill Carnival Enterprise Limited (NCEL), the Notting Hill Carnival Trust (NCT), and previous carnival committee members from the Carnival Development Committee (CDC) and the Carnival Arts Committee (CAC); staff from the Notting Hill Carnival Trust (NCT); individuals from the political, professional and community sectors with an interest in Carnival; individuals from the Carnival's artistic disciplines; members of the wider carnival community; residents of the area; street-traders and other stakeholder groups such as those who provided professional consultancy services in legal affairs, accounting, press and marketing. Overall, over 100 persons contributed and the resulting feedback was used to inform data analysis.

2.7. Research Criteria and Analysis

2.7.1. Evaluation of Qualitative Research

As mentioned above, there are known inherent difficulties involved in developing appropriate criteria for qualitative research, given its interpretivist and subjective nature (Easterby-Smith et al., 1999). These criteria are the principles that inform the evaluation of the design, conduct, findings and interpretation of qualitative research. Despite these inherent difficulties, a range of approaches to and criteria for evaluation have been developed across the spectrum of academic

knowledge and standards and are discussed hereafter for their applicability to the research. The researcher's stance in relation to criteria is that they should enable evaluation of the multi-dimensionality of the research issue.

The quality standards that regulate interpretive knowledge construction are varied. Lincoln and Guba (1985) suggest standards of trustworthiness and authenticity for assessing the quality of qualitative research. These are distinctly different but parallel to the validity, reliability and objectivity standards of positivism. The trustworthiness criterion is defined by four elements, described as follows:

Credibility: did the researcher undertake prolonged immersion in the field, check his/her interpretations with his/her informants, and display a process of learning?

Dependability: did the researcher engage in open-ended or emergent inquiry?

Transferability: is there sufficient rich description for the reader to compare his/her own social context with the social setting of the research? and

Confirmability: can the research data be tracked to their source?

In addition, **authenticity** focuses on the ethics of the relationship established by the researcher with the participants and whether participants' perspectives have been authentically represented in the research process.

Support for the above approach to evaluation is found in the work of Martinez and Albores (2003) who are of the view that strategically, research criteria make

their greatest impact at the beginning of the research, in the definition of the research design and at the end, in the evaluation of the total research. This, they say, results in a more integrated and credible research process. The approach to evaluating the quality of the research was influenced or determined by several factors. They include the need to be consistent with the philosophical position; the nature of the subject matter of the research; and the factors that are important to meeting its aims and objectives (Fossey et al., 2002). Borrego et al. (2009) suggest that the criteria should be informed by the research question; and Creswell (2002) asserts the importance of the research intention and context towards informing the criteria.

In a departure from strict and established criteria, Alvesson and Skoldberg (2009) suggest that qualitative research requires creative and open-minded approaches that acknowledge blurriness, complexity and subjectivity. This is in keeping with the view of other academics who question the appropriateness of using quantitative evaluation criteria in qualitative research. Howe (1998) argues that the use of quantitative criteria in qualitative research is not to be written off altogether. In some cases, quantitative methods may be most appropriate to adopt, while in others the intention and focus of the research may be best suited to an interpretivistic research paradigm and the associated implementation of qualitative methods (Greene & Caracelli, 2003).

Martinez and Albores (2003) argue that the selection of criteria for the evaluation of research is done through the analysis of the characteristics that are desirable in theory building or theory testing and analysing their generalisability. A

selection of their suggested criteria that hold relevance for this research is as follows:

The construct **increases understanding**;

The construct **provides the research boundary**;

The **rigor of the research methodology** process must be demonstrated: this may be done by demonstrating proof of logical research methodology design; and providing evidence that show mastery of the research process, research protocol and a rational selection of research methods tools and techniques, which address the research issue (Sekaran, 1992).

Contains **evidence to support** the construct (Kekale, 2001).

Although more usually associated with the positivist paradigm, validity is considered one of the strengths of qualitative research and it is based on determining whether or not the findings are accurate from the standpoint of the researcher, the participant or the reader (Creswell & Miller, 2000). Thus, the rigor of the research methodology process may also be assessed from the demonstration of different forms of validity. Construct validity concerns the degree to which inferences can legitimately be made from the “operationalisations” in a study to the theoretical constructs on which those operationalisations were based (Trochim and Donnelly, 2006, para. 1). Internal validity concerns the inferences to be drawn from the evidence about a causal relationship between an earlier occurrence and an outcome. External validity concerns the generalisability of the findings beyond the immediate case study. The reliability criterion addresses the extent to which a study’s operations can be repeated using the same research design and obtain similar findings, as demonstrated by its auditability.

Mays and Pope (1995) suggest that the reader could assess the credibility of the researcher's account by asking a series of questions, notably: Overall, did the researcher make explicit in the account the theoretical framework and methods used at every stage of the research? Was the context clearly described? How was the fieldwork undertaken? Could the evidence be inspected independently by others? Were the procedures for data analysis clearly described and theoretically justified? Did they relate to the original research questions? Was sufficient of the original evidence presented systematically in the written account to satisfy the sceptical reader of the relation between the interpretation and the evidence?

Gilbert and Fielding (1993) argue that the ideal test of a qualitative analysis, particularly one based on observation, is that the account it generates should allow another person to learn the "rules" and language sufficiently well to be able to function in the research setting. In other words, the report should carry sufficient conviction to enable someone else to have the same experience as the original observer and appreciate the truth of the account. Tong, Sainsbury and Craig (2007, p.350) stress transparency and trustworthiness that are aimed at enabling readers to assess the consistency between the data presented and the study's findings.

2.7.2. Additional Evaluative Criteria

Other evaluative criteria that may also be applied to the research to underpin standards of trustworthiness and authenticity, include:

Significant contribution: defined by its instrumental utility (Eisner, 1991);

Naturalistic generalisability, referring to the process where readers gain insight by reflecting on the details and descriptions presented in case studies. It invites readers to apply ideas from the depictions presented in case studies to personal contexts that may be "epistemologically in harmony with the reader's experience" (Melrose, 2016; Stake, 1978, p.5; Stake and Trumbull, 1982);

Rigorous in conduct through the systematic and transparent collection, analysis and interpretation of qualitative data; openness and clarity referring to a reduction in complexity and the presentation of the simplicity of the concept (Cohen & Crabtree, 2008);

Use of multiple sources (Gergen & Gergen, 2000);

Fairness (Lincoln & Guba, 2000);

Transparency of data gathering methods (Driessen et al., 2005);

Interpretive validity, which was held to mean that a valid account must respect the perspectives of the actors in that situation (Maxwell 2002).

Coherence, referring to the logical interconnection, consistency, or unity of the various parts of the work to create a cohesive and logically constructed account (Chenail et al., 2011).

Plausibility, referring to whether or not a claim or piece of evidence is reasonable (Hammersley, 1992).

Modernity and Innovativeness, being current in line with trends and the flexibility to cater for development and new trends

demonstrating some evidence of adaptation, redesign and variability according to circumstances, rather than standardisation (NCEL, 1991; Popay et al., 1998).

Comprehensiveness, fullness and completeness, and whether it meets the aim of the research.

Comprehensibility, perceptions of how easily understood the research is and whether it is demonstrated through clarity of ideas that contribute to deepening understanding.

Originality and contribution to knowledge, referring to whether the research demonstrates any of the established scholarly features, creating new understandings of existing issues (Trafford & Leshem, 2010).

Inform action, referring to the capacity to beneficially inform action (Porter, 2007).

Transformation of consciousness, referring to understanding, learning, development, and personal growth (Piggot-Irvine & Bartlett, 2008).

Relevance, evidence to suggest that the research will have public and pragmatic relevance at some point (Hammersley, 1990).

During the process of the research, various forms of raw data were collected, notably through document selection, audio and video recorded interviews and conversations/informal interviews. These were retained more as evidence that they took place and the opportunity they offer for subsequent research by others. Data was organised inductively in order to facilitate interpretive analysis within the conceptual framework. Data evaluation and analysis occurred at every stage of the research and were ongoing processes.

2.7.3. Interpretative Analysis

The analysis was conducted at every stage. It was systematic, organised and reiterative so that the best possible outcome could be achieved. During the process of analysis, the quality of each study or report was assessed; the findings from individual studies or reports were synthesised in an unbiased way; and findings were interpreted, presenting a balanced and impartial summary of them with due consideration of any flaws in the evidence. Critical challenge or self-reflection and the use of tacit knowledge were important with regard to the analysis and the emerging results. Checking and auditing all steps of the analysis were conducted as a natural part of quality assurance, and careful archiving of each step of the analysis using computer technology was conducted to facilitate replicability and access. The results reflect the emic, insider viewpoint as well as present multiple perspectives in a synthesised form.

The findings have been particularised and reflect a body of pre-existing and general management principles, policies and strategies that have been applied interpretatively to provide new understandings within the given context and that may be applied as appropriate in the field of management to produce organisational effectiveness. The research report represents a discursive narrative with contextual descriptions, historical data, quotations and various forms of illustrations that are illustrative of and contribute to appreciation of the importance of professionalism in management in the context of the Notting Hill Carnival

The final part of the process was the deployment of the validation strategy which was used to feed the findings back to the participants to see if they regard the findings and analysis as a reasonable and plausible account that conveyed meaning and facilitated reflection and ease of understanding of their experience of the Carnival process (McKeganey & Bloor, 1981).

2.8. Ethics

In order to conduct this research which concerns human subjects, the researcher sought and obtained ethical approval from the University of Salford's Academic Audit and Governance Committee. This is in keeping with the stipulated standards of the Belmont Report 1979 for the ethical treatment of human research participants. A copy of the ethical approval granted can be found at Appendix I, p. 492. Accordingly, the researcher adhered to the protocol which required her to inform and provide the participants with information about the research and seek and obtain their informed consent. The researcher also observed the protocol which placed responsibility on her to ensure that ethical boundaries were never crossed during the conduct of the research.

2.9. Audience

The research is aimed equally at audiences from the public, private, charitable and voluntary sectors; anyone with an interest in enhancing professionalism in management; and anyone with an interest in the management of the Notting Hill Carnival and complex and dynamic community organisations.

2.10. Concluding Comments

The above paragraphs provide an outline and discussion of the research methodology by first defining the disciplinary context of the research of management science; its conceptual framework of professionalism in management; and the strategy for the conduct of the research. Choosing the right methodology was important to ensuring that the aim and objectives can be achieved; and to make it credible to the reader that the research has been planned and is carried through, well organised, analysed and conclusions drawn in a way that can be relied upon. Insider research and the researcher as the research instrument are highlighted as critical issues that hold implications for the objectivity and validity of the research.

The choice of the case study design is consistent with the qualitative nature of the research. It enables the use of multiple methods of data collection in its execution and adopts an holistic approach to its analysis to facilitate deep understanding of the research and its findings. Overall, the methodology

demonstrates engagement with the academic literature, providing critical review and discussion of the methods of data collection and the research analysis. A broad range of research criteria by which the quality and validity of the research may be judged is outlined.

3. THE CULTURAL CONTEXT OF THE NOTTING HILL CARNIVAL

3.1. Introduction

The major purpose of this chapter is to provide established definitions of festivals, their origins and their importance to the cultural life of society. It aims to provide an account of the contextual background of the Notting Hill Carnival in British society. It shows how festivals like the arts, have the capacity to infuse human cultural experiences with constructive meaning and affirmative power. It also explores the economic importance of the arts which has led to the growth, diversity and significance of festivals.

The chapter provides a comprehensive account of arts festivals, their organisation and the underlying economic forces that drive them. It examines the role and popularity of festivals in contemporary British society; and reminds the reader that through the ages, the rich cultural history of England was brought to life through fairs, carnivals, processions and parades. The chapter seeks to identify those patterns of activity that are common to all types of festivals. It emphasises the definition of the Notting Hill Carnival as an arts festival; a vehicle for the promotion and presentation of the arts in music, dance and costumes; a festival which involves a celebration by the public; and a festival which facilitates spontaneous cultural exchange, social interaction, social cohesion and economic opportunities.

3.2. The Nature and Celebration of Festivals

3.2.1. Definition and Types of Festivals

The Notting Hill Carnival is an urban festival of arts, a celebratory and commemorative event that takes place annually. The word festival, derives from the Latin words “festivalis” and “festum” meaning a feast or banquet, a day or time of religious or other celebration marked by feasting, ceremonies, or other observances (Lewis & Short, 1879). Festivals can be religious or secular though Pieper (1963, p.33) argues that “a festival without Gods is a non-concept”. They are “something exceptional, something extraordinary that must create a special atmosphere stemming from the quality of the art and the ambience of the place” (Isar, 1976, p.131).

According to Manning (1983) festivals provide a rich text, the reading of which provides much knowledge about local culture and community life. They are celebrated through a multiplicity of forms, and in which both the social function and the symbolic meanings are closely related to a series of overt values that the community recognises as essential to its ideology and worldview, its social identity, its historical continuity and its physical survival (Falassi,1987). Festivals are celebrations manifested in “theme, symbolism and emotional stimulation” (Getz, 2005, p.21). Thus, it can be concluded that numerous forms and themes of festivals are possible, and there is no one or widely accepted typology (Small et al., 2005). A carnival is merely one type of festival which falls under the category of street arts or performing arts (British Arts and Science Festivals Association, 2015).

Despite the multiplicity of forms of festivals, McKercher et al. (2006) have identified common traits, noting the intense production and cultural experience resulting from a condensed programme which is planned with a specific purpose in mind; and which can encompass a range of goals depending on their social contexts. del Barrio et al. (2012) describe contemporary festivals as complex cultural phenomena that are a cultural good in themselves; a cultural expression in their own right; and a cultural process in which culture is consumed, reproduced and created. According to Kingsbury (2016) festivals are social phenomena that offer opportunities for togetherness, practising and performing collectively and generating a sense of belonging.

3.2.2. Celebration of Festivals and Their Meanings

Traditional and significant origins of festivals lay in folklore, politics, agriculture as associated with the celebration of a rich harvest, and the right of passage such as births, marriages and even death (Picard and Robinson, 2006; Robertson, 1992; van der Geest, 2000). Some authors (Falassi, 1987; Pieper, 1965) have pointed to a range of behavioural modalities associated with festivals when patterns of daily social life are inverted; and reversal, intensification, trespassing and abstinence become the four cardinal points of festive behaviour.

On the one hand, festivals are considered liminality moments and places of ambiguity where daily realities are suspended (Abrahams, 1982; Turner, 1974, 1988). On the other hand, they have also provided important occasions for the

overt exhibition of political power (Brandt, 2012; Jarman, 1997). They consolidate or resist prevailing norms and values making it impossible to separate the religious from the political, the social and the cultural. In 15th century Europe, the carnival festival was not only used to communicate grievances to the ruling elite, but was also associated with the “ecstatic experience” which led to “a generalised social bond” within a community (Turner, 1969, p.97). Kingsbury (2016, p.222) suggests that festivals like art have the capacity to infuse human experience with constructive meaning and affirmative power.

3.2.3. Developments and Trends in Urban Festivals

Given the increasing urbanisation, industrialisation and globalisation that are characteristic of modern life, festivals have developed within the changing landscapes and are an important dimension of urban culture. Landry (2008) suggests that cities have become hubs of creativity, with public spaces that encourage urban buzz and celebrations that capture the unusual, the uplifting and the creative. Florida (2002, p.8) notes the emergence of a new social group in cities, the “creative class”, at the core of which are artists who contribute to the creative economy.

Within this context of the creative economy, festivals have emerged as major contributors, and their role has assumed increased importance because of their involvement of people in their culture, creation, celebration and consumption. Gotham (2005) observes that there is a conscious transformation of local

festivals into high profile spectacles for tourist consumption. These festivals are multi-dimensional, complex events held together by their drawing on urban identity, urban lifestyles and values. They are linked to the social and spatial organisation, and therefore the related cultural politics of the place that hosts them (Giorgi, Sassatelli & Delanty, 2011).

The rise of these urban festivals is described by Richards (1996) as “festivalization”, a process involving the creation of cultural experiences aimed at potential tourists drawn by culture, as well as at local residents for whom they offer an alternative urban leisure facility and an opportunity to identify with the city (Prentice & Andersen, 2003; Quinn, 2006; Richards, 2007). Such festivals, like the Notting Hill Carnival, may seek social change and demonstrate new possibilities within the context of “pleasure-politics” (Burr, 2006; Sharpe, 2008). Lyck et al. (2012) observe that these festivals have also created a new industry that has become professionalised; and they generally require professional planning, strategic thinking and management.

Contemporary festivals are regarded as sites of cohesion, cultural critique and social mobility. They cause changes in physical and non-physical space with new infrastructure being built for their performance and the social flows and interactions (Cudny, 2014). They have become a significant aspect of the socio-economic and cultural landscape of contemporary everyday life. Bennett et al. (2014) argue that in spite of these critiques, festivals remain important to human existence and understanding of history and culture, expanding our knowledge about each other and providing the grounding for our social and cultural

development. Thus, it is within this context of a multi-dimensional urban festival in which there is spontaneous cultural exchange, social interaction, social cohesion and economic opportunities the Notting Hill Carnival is placed (London Development Agency, 2003).

3.3. The Role and Importance of the Arts in Society

3.3.1. Definition of Art and the Arts

What constitutes “art” and the body of work called “the arts” have been variously defined. Art has been defined as the expression or application of human creative skill and imagination (Oxford Dictionaries, 2015). The arts represent an outlet of expression that is usually influenced by culture and which in turn helps to change culture. They are the physical manifestation of the internal creative impulse (Visual Arts Encyclopaedia, 2015).

3.3.2. The Economic and Social Contribution of the Arts

England has a rich history of fairs, carnivals, processions and parades. They were beacons that marked the passing of the seasons and quietly regulated the country’s economy (Redford, 1974). Cameron (1998) provides an historical account of the development and importance of English fairs from early Saxon times to the 20th century; and which were, at the same time, associated with excesses and immoral behaviour (Barrows and Room, 1991). This, Cameron (1998, p.172) suggests may have contributed to the changing landscape of fairs

in London in which the fairs peaked and passed away, eclipsed by the growing gentility of the time.

In the United Kingdom, there is strong governmental support for the development of the arts in their various forms. The reasons for this are outlined by the Department of Culture Media and Sports (DCMS) (2013) which recognises that innovative, challenging and exciting arts and culture improve people's lives, benefit the economy and attract tourists. Economically, the arts and culture industry generated £15.1 billion in turnover in 2012-13 (Centre for Economics and Business Research [CEBR], 2015). The arts are recognised as being central to the nation's well-being as they define its culture, identity and its national conversation (Arts Council England [ACE], 2014). Arts and culture are said to enrich our lives, inspiring, educating and entertaining us (ACE, 2015). A higher frequency of engagement with arts and culture is generally associated with a higher level of subjective well-being and can help us tackle society's greatest challenges (ACE, 2016; Maughan & Bianchini, 2004; Mowlah et al., 2014). Arts festivals in particular, facilitate wider public engagement in the arts (ACE, 2006; Allen & Shaw, 2002).

Given the importance of the role of festivals in society, the DCMS encourages their development by providing funding through its agency Arts Council England. This includes funding for carnivals as festivals that fall within that section of the arts called the performing arts. These are described as art forms in which a human performance is the principal product, and in which artists use their voices

and/or the movements of their bodies, often in relation to other objects to convey artistic expression (Levinson, 2015).

3.3.3. Definition of Carnival as an Arts Festival

The above definitions and role of festivals in society lay the foundations for the definition and role of the Notting Hill Carnival within its urban British context. A carnival festival has been described as a festive occasion or period; a festival marked by merrymaking, feasting, revelry and processions preceding Lent, leading to a new dawn at Easter. They usually involve a public celebration and/or parade, combining some elements of a circus, a public street party in which people wear masks and symbolically overturn life's normal things. The Notting Hill Carnival's credentials as an arts festival and a vehicle for the arts is validated by the creativity of its people, its high artistic content, its mode of performance and the nature of the support it receives from Arts Council England as performing arts. However, its classification and support only came about after much petitioning and picketing by its artists and community to influence understanding and appreciation of its new art forms (see Figure 1).



CARNIVAL campaigners meet the apocryphal man-in-the-street. What's it all about? The Notting Hill Carnival Development Committee was picketing the Arts Council yesterday for funds. Picture by Peter Johns

Nuclear sub base strikers go back to work

The strike at the nuclear submarine base on the Clyde was called off yesterday when a meeting of more than 2,000 industrial civil servants accepted a shop stewards' resolution to return to work. A spokesman said the men would now lift their "blacking" of work on the Polaris submarine Resolution.

The workers at the three depots that make up the base walked out last Thursday after a number of them were suspended for refusing to work on the Resolution. The workers responded by blacking all work in the base and, following more suspensions, staged the strike. Navy men have done their work since.

The recommendation by shop

Figure 1: Picket for funding as "art"

Source: The Guardian Newspaper, Tuesday, August 15th, 1978

Through a special programme of funding to support carnival arts, Arts Council England recognises that carnival exists in various forms; is associated with different cultural and ethnic traditions; and usually involves planning, participatory activities and live performance (ACE, 2015). The Notting Hill Carnival is also described as a hallmark event, one that possesses such significance in terms of tradition, attractiveness, quality or publicity that it provides its host venue, community or destination with a competitive advantage; and over time, the event and destination images have become inextricably linked (Getz, 2005; Getz et al., 2012).

3.4. Concluding Comments

This chapter has shown that despite their diverse origins, festivals are anything but the presentation of the cultural life of the people in various forms. It is demonstrated that festivals share a basic objective of staging performances and events of such a high standard that virtually, human cultures and their meanings are portrayed. There is a clear and brief definition of festivals as well as their social and economic impacts on society. The key notion of carnival as an arts festival was explored and defined in this chapter, and subsequently the view of Arts Council England was positively brought to emphasise that notion. The carnival festival is described as performing arts, an art form that is characterised by participatory public celebration, including a parade or street-party involving music, dance, costumes and masks.

4. THE ORIGINS OF THE NOTTING HILL CARNIVAL

4.1. Introduction

The purpose of this chapter is to trace the origins or emergence of the Notting Hill Carnival and to give a brief account of its relationship with an English festival that was present in the social history of Notting Hill. The history of the Notting Hill Carnival dates-back to the mid-1960s when it was anything but a carnival, as defined by custom. This chapter serves to explore that history, and illustrates the nature of its artistic content and its Trinidadian heritage. It briefly touches on the impact of the prevalent, negative social conditions of the area of Notting Hill where the Carnival emerged. It demonstrates that despite these conditions, the popularity and growth of the Carnival exceeded expectations which led to calls for it to be removed from the area, once the social conditions of the area began to improve with increasing gentrification.

The chapter provides an overview of the characteristics and development of the various carnival disciplines. It illustrates their historical development and synthesis with the concept of the Notting Hill Carnival, explaining how their relationship with the Notting Hill Carnival evolved. The contested nature of the origins of the Notting Hill Carnival appears to have arisen partly from differences between the two prominent disciplines of the Carnival, masquerade and steelpan. As a result, the challenges that the Carnival faced were not only on account of its increasing size and the public safety concerns, but also involved the instability caused by the struggle for power and status of the key carnival disciplines.

4.2. A Distinctly Caribbean Carnival in Notting Hill

4.2.1. The Notting Hill Carnival's Trinidadian Heritage

The roots of the Notting Hill Carnival lay in the traditions of the Trinidad Carnival which stemmed from the cultural influences of the mainly French, Spanish, English and African cultures that became interlinked over the hundreds of years of the transatlantic slave trade between the 15th and 19th centuries (Hill, 1972; Liverpool, 2001). The Trinidad Carnival stemmed from an eclectic mixture of cultures, and the social conflicts that occurred in the attempts of the planters to control and dominate their slaves and erase their cultural identities. Ladurie (1979) described these early carnivals as religious festivals that also grew to represent class struggle.

Conditions which facilitated the Trinidad Carnival were provided by the heavy urban concentration of enslaved and freed Africans who established cultural patterns which influenced their lifestyle and that of the creoles. The Africans also breathed new life into the celebration of the creole carnivals, but were however restricted in their celebrations (Johnson, 1988; Liverpool, 2001). Resistance and rebellion followed from this repression and fostered the growth and development of an African style carnival in which there was freedom of expression. By 1838, post-emancipation, the Africans had overwhelmed the white and creole carnivals. The style and form of the new carnival were later linked to the celebration of freedom from slavery. The carnival took the form of a participative and processional street festival to "re-enact the spontaneous moment of joy when the last order to implement the freedom of the slaves passed into law in

1838” (Liverpool, 1993, p.221)¹. These celebrations became embedded in the cultural identity of the people of Trinidad and Tobago, and were eventually merged with the carnival of the creoles and the whites, creating the pre-Lenten festival of the Trinidad Carnival.

4.2.2. The Journey from Trinidad to London

The Trinidad Carnival traditions were transported from Trinidad to London as part of the cultural identity of the first wave of Trinidadian immigrants to arrive in England post World War II. In 1951, arrangements were made for the Trinidad All Stars Percussion Orchestra (TASPO) to perform at the Festival of Britain, South Bank, London on 06th July 1951 (Hill, 1972, p.51) (see Figure 2).



Figure 2: Trinidad All Stars Percussion Orchestra, Festival of Britain 1951
Source: www.panjumbie.com

¹ Liverpool (1993:220) “... the liberty that the Africans were given was demonstrated by them on the streets of Port of Spain on August 1, 1838, the date that the system of enslavement was legally ended”.

The orchestra was made up of young men from Trinidad who were the pioneers of steelpan music (Gonzalez, 1978). After the festival, many of the players stayed and settled in Notting Hill, West London. On Sundays, they socialised at the Colherne Public House, Earls Court, London SW5, their “Sunday School”. There, they played steelpan, provided entertainment and “limed”². Their reputation spread and they were soon being hired to entertain at events.

4.2.3. The Social Environment of Notting Hill in the 1950s

The area of Notting Hill lies in the northern sector of the Royal Borough of Kensington and Chelsea (RBK&C). By the 1950s it had become an area characterised by the ethnic diversity of its residents, poverty and deprivation. It became known as London’s “Little Harlem” because of the multiple number of ethnic groups present and its colourful character. Despite the overt racism that was demonstrated particularly in relation to access to accommodation, Notting Hill was the place where many immigrants were able to develop a public life; and where clubs, restaurants, cafes, music and street corner talk were present (Morrison, 1964). The burgeoning population of West Indians included many “bad” boys who set out to make Notting Hill a playground where bad boys could have fun (Theatre Centre Education, 2011).

Moore (2013, p.63) suggests that the root causes of the racial tensions that characterised life in Notting Hill stemmed from the activities of white working class Teddy Boys from Sir Oswald Mosley’s Union Movement and the White

² Gathering together to exchange small-talk.

Defence League, with both organisations urging white residents to "Keep Britain White". From this tension, violent attacks on "coloured" people followed, culminating in the Notting Hill Race Riots which involved up to 400 white youths who attacked the houses of West Indian residents in Bramley Road, W10. The riots raged for one week between 29th August to 05th September 1958, and resulted in the arrests, trials and sentencing of both white and black youths for their participation in the violence (Moore, 2013, pp.39-57).

4.3. The Emergence of the Notting Hill Carnival

4.3.1. Introduction

The issues of who started the Notting Hill Carnival, when and why are subject to ongoing debate within the carnival community. In the following paragraphs, this thesis presents three scenarios or major influences that introduced the culture of the West Indian carnival to England, and contributed to its emergence on the streets of Notting Hill.

4.3.2. In the Aftermath of the Notting Hill Race Riots 1958

In the aftermath of the Notting Hill Race Riots, Claudia Jones, a Trinidad-born, civil rights activist who lived locally, organised a number of fund-raising events to help pay the legal costs and the fines of those Black people who had been arrested and charged. One of these events was called the "West Indian Gazette Caribbean Carnival" which was held on 30th January 1959 at St Pancras Town

Hall, London. The occasion hosted a raffle and various competitions, one of which was the “Best Carnival Costume”; and music was provided by the London-based steelband that played at the Colherne Pub. The dances were full of merriment and were described as a “jump-up” or “carnival party” that kept the spirit of carnival from back home in Trinidad alive. For the next five years, up to and including 1964, the dances were regularly held at Seymour Hall, Marylebone. Jones died in December 1964 and the dances stopped (Moore, 2013, p.145).

4.3.3. The Influence of the Trinidad Carnival Culture

The second influence on the form of the Notting Hill Carnival was a series of promotional events in London about the Trinidad Carnival. During the 1950s, there were three short Pathé news films about the carnival in Trinidad that were played in cinemas before the main film started. When Princess Margaret represented the Queen on a royal visit to the island in 1955, a carnival was staged and filmed. There were also two short promotional films made in 1957, which portrayed the Trinidad Carnival. One of these was aimed at promoting tourism to the Trinidad Carnival using the British Overseas Airways Corporation (British Pathe, 1957).

In 1965, a replica performance of the Trinidad Carnival was brought to England as part of the Commonwealth Arts Festival which opened on Monday 13th September 1965 at the Commonwealth Institute, Kensington (Williams, 1965). The then government of Trinidad and Tobago, the Peoples National Movement,

sponsored and hosted an exhibition of the Trinidad Carnival as its contribution to the festival. Costumes and calypso music were transported, and the London-based steelband provided the accompanying music for the performances. Special commemorative English stamps with carnival costumes were even produced to mark the occasion (see Figure 3). The Kensington Post captured the occasion by reporting on the “gaiety and splendour”, the “throbbing calypso music of the steelband”, “the magnificently robed and whirling masqueraders”, and “the aroma of raw rum punch” (Kensington Post, 17 September 1965)³. The exhibition and performances lasted one month from September 16th to October 17th and were open to the public.



Figure 3: Commemorative Stamps: 1st September 1965 Commonwealth Arts Festival London FDI postmark, Carnival Dancers cover
Source: Royal Mail

³ Appendix II

4.3.4. The Story of the Notting Hill Festival

At the same time as Claudia Jones and after her death, other community activists were engaged in promoting racial harmony. One such person was Rhaune Laslett, who in March 1966 formed a new body of community volunteers, the London Free School, to organise the festival. Its aim was to promote cooperation and understanding between people of various races and creeds, through education and through working together. Laslett conceived the revival of the Notting Hill Fair as a means of “integrating the West Indian population into English society” (Cohen, 1993, p.10). The new event was to be called the Notting Hill Festival and would consist of a short parade through the streets with clowns, jugglers, trumpets, drums and cymbals playing familiar tunes (Blagrove, 2014). The previous Notting Hill Fair had been a traditional English fair which had disappeared at the turn of the twentieth century (Cameron, 1998). The plan was supported by the Council as a positive move towards ridding Notting Hill of its unwelcome reputation, and at the same time improving racial harmony. Laslett invited the steelband of ex-TASPO players to play at the festival in order to attract the interest of the West Indian community in the area.

The festival took place on Sunday 25th September 1966. It included the steelband, as well as other musicians walking through the streets of the slums of Notting Hill. As the steelband and its followers wend their way through the streets, many members of the West Indian community left their homes and spontaneously joined in the fun. The band of nine players attracted about seventy followers and the sound of the band was augmented by individuals spontaneously chanting, singing, and playing impromptu instruments and

rhythms. The festival was reported in the local press as being wholly successful with the “unselfconscious mingling of white and black ... all intent on enjoying themselves and in so doing bringing a welcome splash of colour and gaiety to their drab surroundings” (Kensington Post, 30th September 1966)



Figure 4: Jollity and Gaiety at Notting Hill Pageant
Source: Kensington Post, 30th September 1966

The 1967 festival was described by the Kensington News as a “successful failure” with a deficit of £155. But, on the other hand, it brought gaiety and brightened up the sometimes “sullen atmosphere sometimes associated with the area” (Kensington News, 29th September 1967, cited in Moore, 2013, p.147). In 1968, despite torrential rain, there was a procession in which Henry VIII and his wives and the Pied Piper of Hamelin were depicted, and some West Indians wore their national dress. In 1969, four steelbands participated and were noted to be attracting even larger crowds (Blagrove, 2014, p.72).

Almost by way of a parallel development to the procession, other West Indians, mainly those of Jamaican descent, were hosting house parties. These parties were supported by home-made sound systems being played on pavements and doorsteps, playing sounds from the emerging reggae music genre. Invariably, the party-goers spilled onto the streets, mingling and dancing with the supporters of the steelbands as they went pass.

In 1970, in the aftermath of a demonstration protesting at police action against the local Mangrove Restaurant and Association, All Saints Road, W11 and which ended in violence, Laslett called off the festival’s procession. This, she said, was because of the risk of children being hurt if further clashes were to occur between the Black community and the police. Others did not agree and so Laslett promptly resigned. She later said that she found that her authority was being undermined by those around her for whom she thought she was organising the festival; and that the festival was taking on a new tone that was distinctly Black Caribbean and was akin to a carnival (Cohen, 1993). Laslett “left

dismayed that the festival she had conceived had adopted a confrontational tone that had ungraciously sidelined her contribution” (Blagrove, 2014, p.16)

One common feature of the series of events described above and that provided the inspiration for the inception of what was to be the Notting Hill Carnival, was the performances by the steelband. It provided the linkage and continuity between all the events, and established a cultural platform for the development of a Trinidad-style carnival in Notting Hill.

4.3.5. And the Notting Hill Carnival Started

After Laslett’s resignation, some local individuals quickly came together to make alternative arrangements, forming the People’s Carnival Committee. Around 800 people took part that year and the only music was provided by a group of drummers. Nevertheless, the fact that something happened ensured that the growing tradition of a procession on the streets was maintained.

In 1971, the event was again organised by the People’s Carnival Committee. According to press reports, it was not particularly well organised and was poorly attended. Its future was in doubt because of various internal and external factors, notably: arguments between committee members; a leadership vacuum; the politics and the conflicts stemming from the Mangrove Nine Trial⁴; allegations of

⁴ The trial and acquittal of the defendants forced the first judicial acknowledgment that there was "evidence of racial hatred" in the Metropolitan Police (Bunce and Field, The Guardian Newspaper, 29 November 2010)

police harassment of Black people in Ladbroke Grove; and the refusal of two of the four steelbands to play at the 1972 event. Then, Merle Major, a Trinidadian resident of Notting Hill, managed to salvage the situation by hiring a visiting steelband from Trinidad. The local newspaper later reported that the crowds were substantially larger and by mid-afternoon, hundreds of people were dancing in the Westway Theatre and on Portobello Green (Kensington News and Post, 01st September 1972). Encouraged by this success, Major assumed the role as leader of the carnival. However, eight weeks before the carnival of 1973, Major resigned, leaving yet another leadership vacuum.

Planning for the 1973 carnival was salvaged by Anthony Perry, the then Director of the North Kensington Amenity Trust (NKAT), which held the land under the Westway Motorway, including Acklam Rd/Portobello Green, in trust on behalf of the community. He advertised for a public meeting to address the need for members of the community to manage the event ⁵. Perry recalls five people attending the meeting, one of whom was Leslie Palmer, an up and coming music promoter. With the support of Perry, Palmer took on the challenge to manage the event (Perry, 2002).

Under the banners of “**CARNIVAL IS GONNA HAPPEN**” and “**LADBROKE GROVE CARNIVAL IS GONNA HAPPEN**”, Palmer and his committee, the Carnival Development Committee (CDC), made a significant number of changes to the event’s form and content. The date was changed and moved forward to

⁵ The North Kensington Amenity Trust was established in 1970. It held in trust the land under the section of the M40 motorway that ran across North Kensington where homes had been razed to the ground to give way to the motorway development.

the two days of the August Bank Holiday. They increased its cultural content by making it more inclusive of other Caribbean cultures and invited participation from static sound systems whose cultural roots were in the emerging Jamaican reggae music genre. Palmer forged links with officials from RBK&C and the police and sought their support. He also established links with the Trinidad and Tobago High Commission and other bodies that represented West Indians in the UK. He promoted and popularised the carnival through radio broadcasts and was able to generate income from a number of sources, raising £1,061 (Blagrove, 2014, pp.329-349).

	£
North Kensington Amenity Trust	200.00
The Community Relations Commission	200.00
Royal Borough of Kensington and Chelsea	250.00
Release	50.00
Mangrove Restaurant	20.00
West Indian Standing Conference	10.00
On the Spot Lighting	40.00
Local Churches	20.00
Enco Products	10.00
Dyke and Dryden	10.00
Caribbean Travel	10.00
Voluntary Workers Bureau	3.00
Family Service Unit	2,00
John Coward	1,00
Rev. Ian Harker	5.00
Trinidad and Tobago High Commission	25.00
Street Collections	46.00
German Television	80.00
Bar	30.00
Stallholders	49.00
	£ 1061.00

Figure 5: List of carnival donors, 1973
Source: Blagrove (2014, p.331)

In 1973, the Metronomes Steelband joined the carnival and more small costumed groups based around families, churches and youth clubs participated. Locals were encouraged to invest in and sell food and drink from designated sites. The bands wandered through the streets and groups of people could be found congregating around sound systems. A Judging Point for the steelbands'

competition was established by the Mangrove Restaurant in All Saints Road, W11 (Eyeline Films, 2011). The Notting Hill Festival had undergone a complete metamorphosis, a rebirth and emerged that year as the “Carnival”.

4.3.6. The Emergence and Development of Artistic Disciplines

Examination of a carnival poster from 1973 shows the expansion of the Carnival’s artistic content (see Figure 6). There were even enough children’s groups to have a separate parade from 3pm on Sunday 25th August 1973 for an official “Kiddies Carnival!”.

Participating Units of the Notting Hill Carnival 1973

<i>Sounds (mobile sound systems)</i>	<i>Steel and Mas</i>	<i>Reggay (static sound systems)</i>
Junior Wasp	Merry-makers – Blackfoot Indians	DJamma
Lord Sam	Glory of the Aztecs	Dianites
Zion I	King of Ishula/Sunset Boys	DaveRacks
Sputnick	Day of the Dolphins	Rico Undivided
Enary HI-FI	Forsythe’s Sensations – Sailors Ashore	Scorpio
Sir Nation	Sooswellsowee – Arawak Boys	Hot Wax
6 by 6	Blue Diamonds	Zarr
Sir Coxson	North Stars Sea Bees	Black Knights
Count Shelly	Bats From Hell	Stars of Liberty
Bush Steve	Ebony – Colour My Soul	O-F-C
Lord Kocs	Melody Makers – Extracts from Trinidad Mas	Prospects
Pad Terror	Original Pan Band -	Mossa
Scorpion	Metro Steelband – Afrorama	Live Shocks
El Rico	Peray and Co	Cimaronns
Suffera	Keskidee/Carifesta	Matumbi
Rebels	Long Nose Sailor/White Face Fancy Clowns	Kosacki
Lion Lez	The Brothers	Erasmus
Olu	Nite Blues	
	Disney Land Fantasy	
	Ghetto Prison on Remand	

Figure 6: Participating Units of the West Indian People’s Carnival 1973
Source: Blagrove, (2014, p.336)

The police estimated crowds of between 6,000 and 8,000 people on Carnival Sunday 1973 and 10,000 on the Monday (Moore, 2013). Other estimates and evidence from film footage put the crowds as high as 30,000 (Eyeline Films, 2011).

Analysis of the posters advertising carnival-related events show the change in the name of the Carnival. In 1973, it was called the “West Indian People’s Carnival” and “Ladbroke Grove Carnival”; in 1974, the “Notting Hill Peoples Carnival”; and later simply the “Notting Hill Carnival”. The posters also show changing attitudes and appreciation of the arts of Carnival. From 23 April 1974 to 04 May 1974, there was an exhibition of “Costumes and Photographs of Notting Hill Carnival 1973”; and from 24th May to 31st May 1975, there was a “Notting Hill Carnival Exhibition” of costumes, music and photographs of Mas’74 to celebrate Carnival’s tenth anniversary (see Figure 7). The first institutional support for carnival arts came in 1973 when public funding for an exhibition was made available through the Greater London Arts (GLA), the Royal Borough of Kensington and Chelsea’s Arts Council (RBK&C), the Commission for Racial Equality (CRE) and the Community Relations Commission (CRC).



8. POSTER ADVERTISING A NOTTING HILL CARNIVAL.

Figure 7: Exhibition of costumes, music and photographs of Mas'74".
Source: Blagrove (2014, p.337)

Under Palmer's control and as a result of broadcasting by BBC Radio London in 1973 and later Capital Radio in 1975, the numbers attending the Carnival increased exponentially, changing its appearance and character from a local event into a distinctly Black-British and Caribbean event. Nationwide publicity through the media drew an estimated crowd of 150,000 people on the Bank Holiday Monday 1975. At the same time, there was growing institutional support for the promotion of the arts of Carnival through their support for exhibitions such as "The Roots of Mas", a Notting Hill Carnival exhibition at the Institute of Contemporary Art, June 1975 (see Figure 8).



The Roots of Mas

Notting Hill Carnival Exhibition

Black music, costumes, poetry, dance, theatre and photographs

ICA gallery and theatre, Institute of Contemporary Arts, Nash House, The Mall, London SW1

11. POSTER ADVERTISING A 1975 MUSIC, COSTUME AND POETRY EVENT AT THE INSTITUTE OF CONTEMPORARY ARTS.

MEMORABILIA

COURTESY: LESLIE PALMER

Figure 8: "Notting Hill Carnival Exhibition: costumes, music and photographs of Mas'74".
Source: Blagrove (2014, p.337)

In 1977, the CDC hosted the first “Official Launching” of Carnival and pre-Carnival Activities under the heading “Carnival’77 Gala Performance” at the Commonwealth Institute, Kensington High Street (see Figure 9). These events were facilitated by a grant of £2,000 from the CRE.



Figure 9: Carnival '77 Official Launch, Commonwealth Institute. Source: Arts Council England, 1977

Saturday 27th August 1977

A Children's Carnival

Sunday 28th August 1977

a competition for the King and Queen of the Mas Bands

a Steelband Panorama featuring the Clash of the Giants between four steelbands, namely: Ebony Steelband, London All Stars Steelband, Metronomes Steelband and Paddington Youth Steelband.

The crowning of the Calypso King and Queen

Performances from Georgie Fame and the Blue Flames, Lord Eric Sugumugu and Russ Henderson and the Brassorama side.

Monday 29th August 1977

J'Ouvert procession from 3am from Kensington High Street to Notting Hill

Carnival on the Road

There was even a "J'Ouvert"⁶ procession involving a steelband playing and leading a procession through the streets from the Commonwealth Institute, High Street Kensington, W8 from 3am, ending at 7am in Powis Square, Notting Hill, W11. Two years later, there was further expansion in the arts of Carnival with the introduction of a live stage at Portobello Green in 1979. By 1980, the live stage had become so popular, official reports estimated that up to 6,000 people were packed into the immediate area of the stage (Moore, 2013).

⁶ "J'Ouvert", "J'ai ouvert", "Jouvert" or "Jouvay" is the opening ceremony of the carnival in Trinidad

4.3.7. The Organisation of the Artistic Disciplines

During this period of growth and expansion, and as Carnival approached the 1980s, the need to establish associations for the co-ordination and management of the artistic units became evident. Five associations were formed with a representative from each being given a seat on the carnival committee. The associations were: the “London Carnival Mas Association” to represent the mas bands; the “London Brotherhood of Steel” to represent the steelbands; the “London Brotherhood of Soca Sounds” to represent the mobile sound systems; the “British Association of Sound Systems” to represent the static sound systems; and the “European Calypso Association” to represent the calypsonians. The Inner London Education Authority and the Local Education Board funded schools to participate in the Carnival. Local churches and community organisations encouraged participation by their young people as an important, productive, cultural activity that would keep them off the streets and provide for their gainful employment. The schools and youth groups were later organised into a Schools Carnival Committee and given a designated seat on the main committee of the carnival management organisation.

Under this structure, the production of carnival arts expanded to activities such as schools’ workshops; mas camps; and cultural exchanges abroad were facilitated through the committee’s membership of the Foundation for European Carnival Cities. Funding for the event was provided by the CRE, the ACE, the Home Office Task Force, the Local Authorities and private charitable trusts. In addition to financial support for the carnival committee and various artistic units, there was financial support for initiatives such as the Carnival Industrial Project

which taught young people carnival-related and business-management skills so that they could establish their own small, carnival-related businesses⁷.

4.3.8. The Issues of Public Safety at the Carnival

With the unrelenting growth from year to year in the number of people attending Carnival, public safety became of serious concern. Concerns were first voiced in 1974, after the first surge in numbers. These concerns stemmed from observations of unsustainable crowd density and the lack of planning and preparedness should an accident happen. After the “Carnival Riot of 1976”, the Authorities were particularly vocal about public safety and were petitioned by some local residents to ban the Carnival. Issues that were highlighted for attention were: the lack of sufficient or adequate amenities and resources; the lack of a permanent and well-established carnival management organisation with the capacity to address public safety issues and assume responsibility for them; and the ineffective management and control of the carnival process generally. As a means of addressing the issues and following the breakdown in relations between the police, the Local Authorities and the CDC, 1976 – 1979, and later the CAC, 1980 -1989, the Authorities devised and pursued strategies that were aimed at reducing the size of the Carnival and removing it from the streets of Notting Hill.

The neighbouring boroughs of Hammersmith and Fulham and the City of Westminster offered use of their open spaces. However, there were practical

⁷ This was funded under the Youth Opportunities Training (YOT) programme of the Home Office and the CRE, circa 1986.

financial, health and safety, operational and logistical difficulties and the implications of such a move would be considerable for all concerned. The community responded by asserting the right to hold Carnival on the streets of Notting Hill for the “Road Make to Walk on Carnival Day” (Cohen, 1993, p.111; Howe, 1977). The Authorities also employed an alternative strategy of audience distraction. They initiated and supported the simultaneous staging of carnivals in other areas of London (Brixton, Brent and Finsbury Park), so that people would attend their local carnival instead of journeying to Notting Hill. One such satellite carnival was planned for Finsbury Park, where preparations were made to host an event that was expected to attract over 10,000 people. When Carnival Monday 1978 came, the youths and tens of thousands of West Indians in the area left and went to Notting Hill, leaving behind an experiment in cultural engineering that left many in financial ruin (Cohen, 1993).

The number of people attending the Notting Hill Carnival continued to increase, reaching 1,000,000 by 1983. In 1984, fears about public safety were heightened by reports of an increase in the amount of opportunistic crime that was taking place. There was an increase in street robberies, pick-pocketing and steaming through the crowds. In 1987, the police added a new tactical command team for its Carnival operations, “Operation Trident”, to specifically address crime at the Carnival. Carnival 1987 was reported as being one of the most difficult with a sharp increase in crime, most especially street robberies. The following day, 1st September 1987, headlines such as those below, appeared in newspapers:

“Riot Terror at Carnival”

(Daily Mail)

“Carnival terror as riot police charge stone-hurling mob”

(Daily Express)

“Carnival riot cops storm in”

(Daily Mirror)

“Rioting erupts at end of carnival”

(The Independent)

“Rioting breaks out as night falls on Notting Hill”

(The Times)

“Riot police battle with mobs in Notting Hill”

(Daily Telegraph)

In 1988, following yet another increase in criminal activities at the event, the Authorities as represented by the Metropolitan Police Service, the Local Authorities and the CRE responded with the establishment of the Carnival Support Group which included the CAC, the British Association of Sound Systems, and the other Emergency Services. This development formalised the multi-agency approach that was to become key to the planning of future carnivals, and brought the Carnival's management organisation within the framework of collective responsibility for public safety at Carnival (Moore, 2013). The CAC and the police signed a “Notice of Agreement” in which the role and responsibilities of each party for the promotion of public safety, were outlined.

4.3.9. The Challenges Posed by the Carnival's Popularity

The power of broadcasting was fully demonstrated in the exponential growth of the Carnival. By the early 1980s, radio and television broadcasting by BBC Radio One and BBC World Service enabled the Carnival to reach a global audience. The composition of the performing units, audience and participants began to change, reflecting the full range of age groups and a growing multi-racial and multi-cultural mix of people. In 1986, a Harris Research poll survey reported on audience demographics as follows (see Figure 10):

<i>Audience Estimate 1,000,000</i>			<i>Estimated number of participations 20,000</i>		
Ethnicity:	Black	60%	Participation:	Mas	35%
	White	30%		Pan	30%
	Other	10%		Sound	30%
				Systems	
				Calypso	2%
				Live Stages	5%
Age groups:	Over 50s	15%	Audience Preference	Mas	35%
	25 – 50 yrs	30%		Pan	30%
	Under 25 yrs	45%		Sound	30%
				Systems	
	Children	10%		Calypso	-
				Live Stages	5%

Figure 10: Audience Demographics 1985

Source: Harris Research Poll 1986, cited in Carnival Organisational Review, Coopers & Lybrand, 1988

Apart from the challenges being faced by the management organisation in trying to meet its responsibilities, there were also rumours about the misappropriation of funds. There were calls from the statutory funders⁸ for change and improvement and for accountability to be assured, given their annual collective funding of the Carnival from £150,000 in 1983, rising to £200,000 by 1987. In 1988, they commissioned an organisational review of the Carnival's management organisation by the international firm of accountants, auditors and professional services providers, Coopers and Lybrand.

4.4. The Arts and Culture of the Notting Hill Carnival

The popularity and rapid expansion of the Carnival require some description and awareness of its attractions. The nature and character of the Notting Hill Carnival are best presented and appreciated through a description of the art forms that constitute its core activities. The immediate artistic and cultural traditions of Carnival lay in their Trinidadian roots. Carnival is presented annually through performances from its five core artistic disciplines of “mas”, “pan”, “calypso”, “static sound systems” and “mobile sound systems”; “live music stages”; and participation from its “spectator-participant” audience. The term artistic discipline denotes a branch of knowledge about a section of the arts of Carnival and encompasses those who practice within it⁹.

⁸ The “Statutory Funders” refers to those bodies whose funding is sourced from government and who in turn provide some financial support to the Carnival. They included: Arts Council England, Greater London Arts, Commission for Racial Equality, Royal Borough of Kensington and Chelsea, London Boroughs Grants Scheme and the Home Office Task Force.

⁹ A definition provided by Notting Hill Carnival Ltd, 1991.

4.4.1. Masquerade: the Heart of the Arts of Carnival

“Mas” is the principal artistic discipline. The word stems from the word masque or masquerade, and its traditions and styles displayed at the Notting Hill Carnival replicate those from the Trinidad Carnival. The essence of mas lies in the portrayal of key persons or the personification of an idea. Masqueraders perform as part of a carnival band in a costume that fits its theme.

The production of a carnival mas band involves forward planning, design, financial planning, administration, people management and production skills. Costume design and making may involve the use of multiple creative skills and techniques and masqueraders are expected to engage in and contribute to the design and making of their costumes, either at workshops called “mas camps” or the home of the band-leader (see Figure 11).



Figure 11: Building mas in “my sitting room”
Source: BeeRaaHar Carnival Club (2015)

Under the title of “The Masquerade: Theatre of the Streets”, Hill (1972) highlighted the artistic and theatrical credentials of the portrayal of mas at the

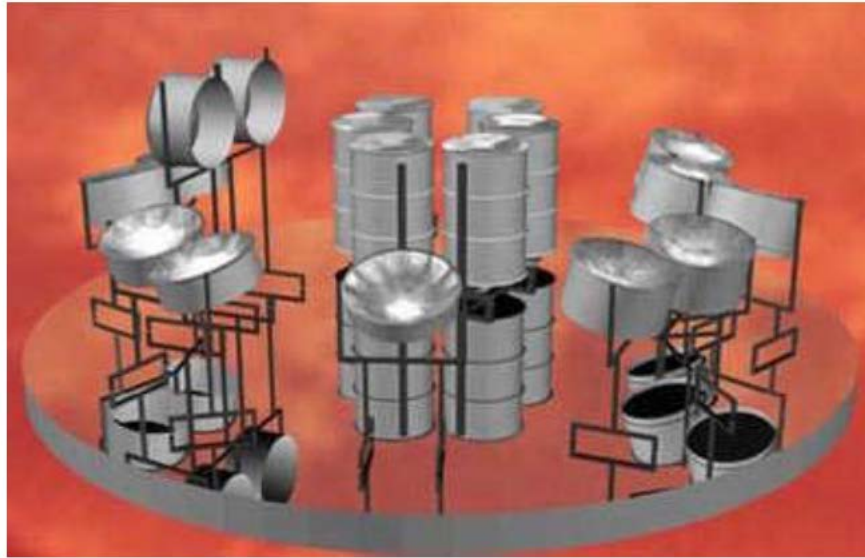
Trinidad Carnival and the effort of the individual to make himself ready for performance and transformation into the creation of his imagination:

No seasoned actor ever worked harder on a role ... For two days he will be the living embodiment of his most fancied imagination (Hill, 1972, p.86).

4.4.2. Steelpan: the Rhythm of the Oil Drum

The traditional instrument for the provision of music at Carnival is the “steelpan” or “steeldrum”. Steelpans were initially made from oil drums that had been discarded by the American-led oil industry in Trinidad, circa 1939. Their transformation from oil drum to a finely tuned instrument involved much creative and painstaking work of cutting the individual drums to different sizes; manually sinking their uncapped faces into a concave surface; marking, grooving, burning and tempering their surfaces; and finally tuning each one to create a series of dents that are fashioned into notes until the desired pitch for each note is obtained. The crucial music element of this transition was not just the development of melodic instruments, but the ability to play recognised tunes (Dudley, 2007; Hill, 1972; Gonzalez, 1978). The pan is then either chromed to make it shine silver or dipped in paint (MEP Publishers, 2013). The steelpan is colloquially referred to as “pan” and their players as “panmen”, “panwomen” or “pannists”. A collection of tuned steelpans is gradually transformed into a set of instruments from treble to bass to form a band or orchestra. Typical instruments found in a steel orchestra are (see Figure 12):

Pans of the Steel Orchestra



Tenor pan, soprano	Guitar pan	Six bass
Double tenor, alto	Triple Cello pan, baritone	Seven bass
Double second, tenor	Four pans	Nine bass
Quadrophonic	Tenor bass	Twelve bass

Figure 12: Pans of the Steel Orchestra
Source: <http://stockholmsteelband.se/pan/bands/>

4.4.3. Calypso: the Art of Dialogue Through Song

Petillo (2010) describes the Caribbean as a highly syncretic place where the African presence informs the core of the region and gives shape to its innermost identity. The calypso is derived from African traditions of the enslaved Africans.

Calypsos were used by slaves as a type of code to communicate with each other, often using this medium to ridicule their masters and plot rebellion. Also known as the poor man's newspaper in times when literacy was not widespread, the performance of calypso took the form of setting news to music and communicating it through song. Thus, calypso enjoys celebrated status as one of the cornerstones of the Trinidad Carnival celebration (Phillips, 2010).

The etymology of the word calypso is uncertain, though popular opinion is that it came from "kaiso" a Hausa word for "bravo". What is undisputed is the power of the calypso; its role as an instrument of social criticism and as an escape measure for resentful public feelings; and its influence as an oral, social medium of communication that informs and transforms understanding. The lyrics of the songs can embody political commentary, social commentary, humour, satire, pathos or joy; and project specific themes which can be used as a lyrical lens through which we can cull the seemingly latent identities of various groups (Hill, 1972; Sylvester, 2013, para 1). They can also be aimed at different age groups and convey serious social messages such as the timeless calypso of the calypsonian Mighty Sparrow, which urges children to "Go to school and learn well"¹⁰ .

Most calypsonians do not perform under their own names, but adopt a sobriquet, a title that reveals something of their style and philosophy, as well as an individual's conception of himself and his role in the society (Kang, 1996). Modern-day calypso performances must demonstrate and are judged for several

¹⁰ Appendix III

characteristic features, namely: Originality; Extemporaneous performance; Picong¹¹; and Satire; Call and response. Hill (1972, p.68) describes a great calypso as “timely and timeless ... couched in colourful language, the language of similie and metaphor”.

The calypsonians in Notting Hill constitute a core artistic discipline coordinated by the Association of British Calypsonians. Their performances follow the traditions of the Trinidadian calypso genre, with calypsonians adopting sobriquets such as “Lord Cloak”, the “Mighty Tiger”, “Alexander D Great”, “Explorer”, “Sweetfoot”, “Peace and Love” and “Tobago Crusoe”. They perform at their calypso tent or the designated Carnival Village¹², and provide prelude performances to “Carnival on the Road”.

4.4.4. Static Sound Systems: the Art of Sound System “Deejaying”

The two technologically enhanced music based artistic disciplines of the static sound systems and the mobile sound systems are contemporary additions to the culture of the Notting Hill Carnival. They owe their evolution to the curiosity and creativity of young men experimenting with sound and technology, influenced by the music and styles of Jamaica. The culture portrayed promoters who would throw large parties in the streets that centered on a disc jockey called the “selector”, who played dance music from large, loud, home-made sound systems and bantered over the music with a boastful, rhythmic chanting style called “toasting”.

¹¹ The lyrical battle between singers, often done spontaneously.

¹² The indoor or outdoor centre or space designated for carnival related activities.

The sound systems are said to keep Carnival current and their culture is constantly evolving through playing only the latest tunes from the chosen genre of music and engineering their systems using the latest technology. The systems play loud and hard in a manner that is described as “sounding”, referring to the corporeal and sociocultural as well as the auditory dynamics of sound (Henriques 2011, p.3; Henriques and Ferrara, 2014).

A sound system at Carnival consists of a “DJ’s rig” that is set-up on a licenced site in one of the streets of the designated carnival area. The “DJ” refers to the person who mixes live, the recorded music for the audience’s entertainment. Their instruments are the turntables, laptops and other electronic equipment through which the sound is produced. The art of “DeeJaying” or “DJying” involves “live mixing”, “scratching”, “dubbing” and other skills that would enable the DJ to personalise the presentation of the music to “hype” the mood of the crowd and get them dancing and responding to the “DJ” or the “selector” (see Figure 13).



Figure 13: Notting Hill Carnival “DJ Norman Jay” ,2000
Source: www.theguardian.com

Popular sound system sites at Carnival may attract as many as 3,000 followers. They play many different genres of music and have also adopted stage names to reflect their style or that are a satirical play on the image they want to portray. For example, “Killa Watt” known for his loud and heavy bass line; “Latin Rave” known for his specialism in Latin Music; the melodious sounds of “Mellotone” for easy-listening music; or the seductive beat and lovers’ rock emphasis of “Fourplay”; and “Dis Jeneration” at the cutting edge of music to appeal to the youths. The static sound systems are hugely popular in Carnival and their audiences make up 50% of the million carnival-goers.

4.4.5. Mobile Sound Systems: the Art of “Deejaying” On The Move

Mobile sound systems operate from similar “DJ” rigs to the static sound systems. However, they perform from the beds of articulated-lorries as “floating sound stages” wending their way along the carnival route, leading and entertaining the crowds. Their main purpose is to support the masqueraders. Their music is imported from the Trinidad Carnival, and is then re-mixed and “dubbed” by the DJ to provide his/or her own interpretation of the calypso. Mobile sound systems have tremendous pulling power and are relied upon to lead the crowds off the Carnival’s stage at the close of the day.

4.4.6. Live Stages: the Power to Excite and Entertain

Between 1979 and 2002, live stages on which both international and local artists performed were featured at Carnival at Portobello Green, Powis Square, Meanwhile Gardens and Hornimans Pleasance. These sites are park areas in Notting Hill on which stages were constructed and free concerts given within the setting of Carnival.

Between 1979 – 1991, the live stages were managed by a private promoter working from within the carnival management organisation. In 1992, as a result of a change in policy, the carnival management organisation franchised the sites to radio stations, namely: Capital Radio, Kiss FM and BBC Radio One. These organisations paid a franchise fee to Carnival for the privilege of hosting a live stage in the setting of a ready-made carnival audience. One of the positive

impacts of this policy was the expansion and diversity that followed with new audiences who were radio listeners, attending and participating in the Carnival. The presence of these live stages was an unique feature of the Notting Hill Carnival, distinguishing the Notting Hill Carnival from other international carnivals.

4.5. Concluding Comments

This chapter informs the origins of the Notting Hill Carnival and the challenges it faced in its development. The first attempts at controlling the Carnival were inherently hectic, unplanned, fragmented and political. Many of the people involved saw the carnival presentations only from their own perspective. A major controversy which involves when and who started the Carnival still persists. One view is that the Carnival started on the wave of an English festival at Notting Hill. Another view is that the Carnival was the result of an organised protest against racism. A third view presented above is that Carnival stemmed from the influence of Trinidadian cultural expressions. The chapter has identified and explored the various alignments of cultures which made the Notting Hill Carnival happen and be unique and different from other carnivals.

In general, the chapter suggests that the unique nature of the Notting Hill Carnival arises from its diverse artistic and cultural contacts. The altered activity pattern of the Carnival occurred because of the impact of the different Caribbean and other cultures on a carnival which initially offered a strictly Trinidadian-style carnival. As a complement to the preceding argument regarding the cultural

diversity of the Notting Hill Carnival, this chapter serves to explain the development of the various artistic disciplines and their inter-dependency, and which constitute the body of the Notting Hill Carnival.

5. CARNIVAL MANAGEMENT PROBLEMS AND DIFFICULTIES

5.1. Introduction

This chapter focuses on the actual management approaches and the behaviour of the managers of the carnival management organisations before 1989. It demonstrates that underlying the patterns of managerial activity was the lack of understanding of the scale of the task of managing a carnival festival which had grown in size and popularity over a short period of time. The chapter aims to describe the activity patterns of the management which were out of step with the external expectations of the artistic carnival performers and the carnival community. It examines the level and quality of interaction between the management and the multi-stakeholders; and the behavioural patterns in management which appear to have arisen from the amateurish manner in which the Carnival was being managed, despite its growth and increasing popularity.

The chapter takes a very broad perspective and examines the many aspects of the results of ineffectual management practices and the behaviour patterns that prevailed. These include the absence of a cohesive management organisation; the trial and error approaches to management; and ignorance of the pressures exerted by the strong carnival environment. The chapter reviews the notion of ad hoc management and the strains and tensions that resulted from that practice. A key factor explored is the impact of the response of the statutory funders to what they deemed to be unacceptable management practices or mismanagement.

5.2. Learning to Manage a Spontaneous Event

5.2.1. The Problems of Ineffective Leadership

The celebration of the Notting Hill Carnival was, from inception, characterised by an image of spontaneity and joie de vivre. It spontaneously emerged from within an organised event and within less than five years, took on a life and character of its own. After the resignation of Rhaune Laslett in 1970, leadership became a contested issue. Russ Henderson, the leader of the steelband formed a committee and called it the Carnival Development Committee (CDC). He brought together a group of Trinidadian musicians, but who had no managerial experience.

At best, the committee could be described as being made up of enthusiastic volunteers who bounced ideas around based on what they were used to doing “back home” in Trinidad. There was a lot of bluff and pretence since none of them had been involved at management level in the carnivals “back home”. The management of the Trinidad Carnival was a national, political, governmental concern. It was appropriated in 1956 as a symbol of the nation, to establish the government’s legitimacy to rule as the representative of “the people” (Cowley, 1996; Crowley, 1956; de Verteuil, 1984; Green & Scher, 2007; Liverpool, 1998; Riggio, 2005)¹³.

¹³ In 1957 the new Peoples National Movement government established the Carnival Development Committee; and on 5th August 1991, the National Carnival Commission of Trinidad and Tobago Act established the National Carnival Commission, the nine members of which are to be appointed by the Minister of State.

At Notting Hill, whilst everyone contributed ideas, authority, responsibility and accountability were undetermined. What to do and how to do it were based on instinct. There were no defined goals or objectives, and personality clashes served to undermine any semblance of cohesion. The committee soon fell apart leaving Selwyn Baptiste as the sole organiser, a role he attempted to fulfil within the limitations of his managerial capabilities. This inadequate leadership and ineffective management affected the carnivals of 1971 and 1972, which were recorded as poor carnivals (Blagrove, 2014).

5.2.2. Under-estimating the Size and Scale of the Task

One of the identifiable factors that detracted from the effective management of the Carnival was not knowing the size of the task, and therefore being unable to plan properly. There were no reliable means by which its size and dimensions could be assessed or measured. Carnival was happening indoors, in playgrounds and in the streets throughout the area. There was also the preliminary issue of determining whose responsibility it was to measure its size and pace of growth. By default, the police assumed the task and reliance was placed on their figures. Moore (2013) confirms the inadequacy of the police's resources for and approach to the task. Indeed, film footage of Carnival 1973, demonstrates that the Carnival was more than ten times the size of the given estimates (Eyeline Films, 2011). Police records state that in 1975, 150,000 people were in attendance increasing to 250,000 in 1976. By 1983, the Carnival was estimated to be already hosting 1,000,000 attendees.

Phillips and Phillips (1998, p.284) suggest that “the unique character of the Notting Hill Carnival stemmed from the fact that it was by definition, beyond control. It was more than an event. It was a market place where everyone was negotiating the construction of a new culture in an atmosphere of anticipation and adventure”. To the Black community, the Carnival's rapid growth and influence were reflective of its success and power. To the Authorities however, its size represented risks to public health and safety, with financial implications regarding the use of public amenities. To the residents of the host community, the Carnival was hugely disruptive of daily life.

5.2.3. The Impact of Environmental Factors on the Management

In 1966, a carnival-styled procession spontaneously emerged in the streets of Notting Hill, an area which was still scared by memories of the Race Riots of 1958, and tensions between the police and the Black community. In 1971, tensions heightened following the trial of the “Mangrove 9”. The trial was of nine people who had been arrested and charged after a dramatic and violent confrontation between the police and members of the Black community following a demonstration to the Notting Hill police about the constant police harassment of the owner of the Mangrove Restaurant, Frank Crichlow. Crichlow was the proprietor of the Mangrove Restaurant and Community Association based in All Saints Road, Notting Hill. The premises also served as a gathering place, a social club and community centre for young Black men wanting somewhere to “hang out”. The police kept the premises under close surveillance, organising several raids on it and arresting its owner. The trial at the Central Criminal Court

ended in the acquittal of seven of the accused, with the remaining two being given short suspended sentences.

The trial brought notoriety and fame to the restaurant and its proprietor, as symbols of Black resistance against oppressive policing (Cohen, 1993). Crichlow then established a Carnival Judging Point for the steelbands in All Saints Road, thus linking it and the Mangrove Association socially and politically to the Carnival. Though not on the carnival committee, Crichlow was an influential figure in the background.

5.2.4. The Broadening of the Cultural Base of the Carnival

In the early years, the management and planning for Carnival was largely about recreating the Trinidad Carnival experience in Notting Hill. Cultural links were forged with the Trinidad and Tobago High Commission and Trinidadians took on its leadership and management. However, in 1973 the then leader of the Carnival, Leslie Palmer, widened its cultural base by inviting participants from other Caribbean islands and capitalised on the presence of the Jamaican reggae sound systems. This attracted tens of thousands of young Black people to the event as “reggae was the idiom” of their cultural and social expression (Cohen, 1993, p.36).

The increase in the number of performing groups attracted greater crowds which in turn, put pressure on the local environmental facilities. In the aftermath of Carnival, the Local Council offices were deluged with complaints from residents.

5.2.5. Consequences of Breakdown in Communication

In 1975, to avoid a repeat of the impacts of the previous year, the police and the Council tried to influence the planning for Carnival. The police requested that the carnival committee should agree to a specific area in Notting Hill being designated for the event. But, this proved to be insufficient as there was yet another surge in numbers attending. Police records show that 70,000 people attended on the first day, Sunday 29th August and those numbers doubled on the second day to 150,000 (Moore, 2013). The police subsequently reported on the inadequacy of the planning, management and organisation of the Carnival (Moore, 2013). They also complained about the challenges of keeping law and order amidst dense crowds. They outlined that street robberies, pickpocketing, the unlicensed sale of alcohol and street-trading were freely taking place.

The Chief Executive of RBK&C wrote to all members of the carnival committee, seeking a meeting. Palmer resigned soon thereafter and the issues were left to be addressed by Selwyn Baptiste. Baptiste took a stance and would not engage with the police once they suggested the removal of the Carnival from the streets of Notting Hill. As a result, decision-making and planning for Carnival 1976 were undertaken by the police and the Local Authority. Together they introduced the idea of a designated carnival area defined by a route and the division of that area into six sectors, with each sector having its own command and control centre headed by an officer of the rank of Chief Superintendent (Moore, 2013).

The new structure was implemented in time for Carnival 1976. On the Sunday, there was again an increase in numbers attending and a notable increase in serious crimes. Groups of 12 or more young people were “steaming” through the crowds like a runaway steam train, knocking down and hurting people to commit robberies. On Monday 30th August 1976, even more people attended and the “steaming” that had occurred on the Sunday, intensified on the Monday. As the police attempted to arrest the wrongdoers, they ran into the crowds for cover and when the police followed, other youths fought back throwing stones and other objects at the police. This triggered a full-scale riot that waged for four hours between the police and the youths. Police reinforcements were deployed and the incident escalated and resulted in what became known as the “Carnival Riot of 1976” (Howe, 1977; LBC/IRN, 1976; Moore, 2013). It was said that the rioting of the youths was due to their all-year round frustration and anger at the harassment, brutality and racism some had suffered at the hands of the police (Bunce and Field, 2014; Gutzmore, 1982; Howe, 1977; Owusu, 1988)

During the riot, 413 police officers and 188 members of the public were injured and over 1000 crimes were reported. Sir Robert Mark, Metropolitan Police Commissioner, blamed a hard core of about 800 “young black hooligans” who had deliberately attended the Carnival to mug and rob, secure in the knowledge that other revellers would go to their aid if police intervened (Daily Telegraph, 01st September 1976; LBC/IRN, 1976; Times Newspaper, 01st September 1976)¹⁴.

¹⁴ Appendix IV

In the aftermath of the riot the police accused the organisers of “showing irresponsibility bordering on negligence” in their failure to make proper arrangements for an event which was fast becoming the biggest street festival in Europe (Moore, 2013, p.186). The police were also criticised for their handling of the situation and were forced to admit that “this was, without doubt, a turning point in public order policing” (Moore, 2013, pp.185-191). It led to Home Office approval for the acquisition of new police equipment and training in the skills necessary to deal with increasingly violent confrontations

5.2.6. Conflicts Within the Management Organisation

After the Carnival of 1976, Baptiste was criticised by the community for his handling of issues. His leadership was challenged by Darcus Howe, a known journalist from the Race Today Collective, Brixton. Howe accused Baptiste and the committee of abdicating their responsibilities to the Black community and called for an account of the handling of issues leading up to Carnival 1976. He suggested that for the Carnival to survive the threat to its future, it must develop and weld the organisational resources which already shaped the large mas bands, the steelbands, the preparation of stallholders, the local West Indian businesses and individuals with an immediate interest in the Carnival (Bunce and Field, 2014). Howe was elected by the carnival community as chairman of the CDC in 1977. Baptiste broke away, taking the name of the organisation with him and formed an alternative Carnival Development Committee.

Howe's leadership was soon challenged by a new committee calling itself the Carnival Arts Committee (CAC), led by Louis Chase, another local Notting Hill community activist and who had also been part of the CDC. The existence of three committees created confusion about which committee was the official point for contact and communication. Chase argued that the Carnival should be used as a political lever to press for reforms and concessions for the wider Black community. Others argued that it was a cultural event which held immense economic possibilities for West Indians. Howe's CDC adopted the position that the Carnival was essentially an artistic, creative event and should remain as such, which would deny the Authorities the excuse to ban it. He argued that the fact that hundreds of thousands of people came to Notting Hill in the face of opposition from the police and Authorities was itself a major political event. Carnival did not need any overt politicisation, otherwise people would be deterred from participating, leaving it to only political activists who would inevitably transform it into a political demonstration (Cohen, 1980). In a series of correspondence, minutes and press releases from Chase's private collection, it can be seen that the period was beset by serious financial difficulties; difficult relations with the police and other stakeholders; and difficult relations with the press¹⁵.

5.2.7. Wider Social Issues Affecting the Carnival Community

Immediately prior to Carnival 1977, three significant events occurred that had implications for the area and the Carnival. Firstly, in July 1977, 60 police officers

¹⁵ Appendix V

mounted a raid on the Mangrove Restaurant. Crichlow and five others were arrested and indicted for permitting the premises to be used for the sale and supply of cannabis. Secondly, in August 1977, the National Front, a far-right political party opposed to non-white immigration, held a demonstration in Lewisham, South London, an area with a high concentration of ethnic minority groups. The demonstration ended in violence between rival groups (Evening Standard, 24th August 1977; Evening News, 24th August 1977; Daily Telegraph, 25th August 1977). Thirdly, in August 1977, just days before Carnival, the trial of those who were accused of being involved in the Carnival Riots of 1976 was concluded and everyone was acquitted amidst claims of police brutality (LBC/IRN, 1977).

These three events just before Carnival 1977, held implications for the policing and planning for the event, and communication between the police and the carnival community. Neither the CDC nor the CAC participated in the discussions and the police made their own arrangements. These included the deployment of 6,000 officers; securing several covert observation posts overlooking areas where crime was prevalent; and making arrangements to receive casualties at local hospitals, in the event of disorder. There was tension and a stand-off between the management of Carnival and the police, and the Church acted as mediator. As a symbolic gesture of peace, the Carnival was kicked off with a “Carnival Mass of Peace and Reconciliation” at Westminster Cathedral on the Saturday. High profile clergy were called upon to conduct the service led by the Archbishop of Westminster and the Archbishop’s

representative from Trinidad who was flown in specially for the occasion (LBC/IRN, 1977).

The first evening of Carnival ended with violence, vandalism, looting and arrests. A total of 945 crimes were reported, of which 86 per cent were robberies. One hundred and three members of the public required hospital treatment and a 192 police officers were injured (McNee, 1979 cited in Moore, 2013, p.197). Chase, chairman of the CAC responded by saying that he deplored the racial overtones of the violence and the way in which the youths showed their frustration, and called for preventive action (LBC/IRN, 1978).

5.3. The Case of Inadequate Management Capability

5.3.1. The Absence of a Cohesive Management Organisation

On 07th June 1978, Chase resigned from the CAC, citing several reasons which included the lack of financial support which inhibited their ability to engage in any meaningful planning or management of the event. Despite Chase's resignation, the three committees continued to exist, each claiming to be the "official" committee. The police reported to the Home Office that arrangements were being hampered by the conflicts between the separate organising committees. Nevertheless, the Carnival was allowed to continue with the police taking on an even greater role in planning for the event. The police stated that the Carnival was not a success and in spite of the occurrence of crime, they had no power to stop it (LBC/IRN, 1978). In the week following the Carnival, the Commissioner of

Police suggested a joint approach to future planning to be taken by “all the relevant authorities jointly with the carnival organisers” (McNee, 1979, p.8).

In September 1978, the Mangrove Restaurant was once again raided and Crichlow arrested. The drugs offences for which Crichlow and five others were arrested in July 1977, went to trial on 17th May 1979. The case was referred to as the “Trial of the Mangrove Six” and it ended in July 1979 in his acquittal of all the main charges. The defence issue raised was that the drugs had been planted by the police (Moore, 2013, p.194). Word of the outcome of the trial was widely broadcasted over the radio and it held implications for cooperation in the planning of Carnival (LBC/IRN, 1977). In anticipation of trouble at the Carnival because of the verdict, there were calls for it to be banned and removed from the streets. Newspaper headlines appeared as follows:

“Curb the Carnival” (Evening News, 18 June 1979)

“Ban the Carnival” (Evening Standard, 18 June 1979)

“Notting Hill Carnival Fear” (Evening Standard, 19 July 1979)

Within the Carnival itself, there was dissatisfaction with the way in which the CDC, with Baptiste back in control, was managing the event. The committee was criticised for having no premises; being too much personality-led; and lacking effective management and accountability. Internal conflicts arose and most of the committee resigned. The CDC fell apart creating a new leadership vacuum which allowed many other individuals to try to assume control. In spite of this, the

Carnival went ahead with the performers organising themselves in their groups, and their performances being facilitated through plans made by the police. Eventually, the right to lead and manage the Carnival was settled at a public meeting in late 1979, and fell to the Carnival Arts Committee (CAC).

5.3.2. Trial and Error Approaches to Management

The dawn of the 1980s ushered in a new approach by the Authorities to the organisation and management of the Carnival. A more strategic approach was adopted by the police who brought together the different public bodies with a stake in the Carnival and influenced their policy in relation to it. These bodies, the Home Office, Commission for Racial Equality, Local Councils of the Royal Borough of Kensington and Chelsea and City of Westminster, Greater London Council and Arts Council England were encouraged not to fund the Carnival unless its internal organisational conflicts were resolved. Led by the Arts Council, they announced that a two-committee situation would no longer be tolerated and that the carnival bands would be directly funded by them (Moore, 2013).

The new chairman of the CAC, Vijay Ramlal, expressed his concern about the public image of the event and complained bitterly about the bad press, the lack of funding and the emphasis by Authorities on prioritising policing issues rather than the arts. Nevertheless, Carnival 1980 took place and was reported to have been a success. In May 1981, the CAC elected a new chairman, Oswald Gibbs, the ex-High Commissioner for the island of Grenada. He served for three years

during which time he provided some stability and funding and control over the funded bands were restored to the CAC (LBC/IRN, 1982),

5.3.3. The Threats of Strong Environmental Factors

Between 1981 and 1985 several events occurred in the wider social environment that held implications for the approach towards the planning for and management of Carnival. Between 10th and 11th April 1981, there was a confrontation between the police and the Black community in Brixton, London. This was known as the “1981 Brixton Riot”, or “Brixton Uprising” (Brixton Defence Campaign, 1981). Between 3rd and 11th July 1981, there were similar bouts of urban unrest fuelled by racial tensions and difficult police and community relations in towns and cities such as Handsworth, Birmingham; Toxteth, Liverpool; Hyson Green, Nottingham; and Moss Side, Manchester where there were large Black communities. On Thursday, 9th July 1981, there was copycat rioting and looting in Notting Hill involving about 200 youths who rampaged through Portobello Road and then ran off to the All Saints Road and the Mangrove Community Association.

Other significant events that contributed to expectations of trouble at Carnival included the fact that on 13th July, Prime Minister Thatcher warned that the police would be allowed to use rubber bullets and water cannons to quell urban unrest; on 15th July, the police again clashed with Black youths in Brixton; and on 21st July, an article appeared in the Daily Mirror newspaper entitled “Carnival Bomb Plot”. The Home Secretary alerted the Commissioner of Police of the

threat of a Race Riot at the Carnival and the police deployed 13,000 officers. 1981 was later described as “one of the most difficult years in police memory” (Innes, p.23, para 5.61 cited in Moore, 2013, p.222).

5.3.4. The Strains and Tensions of Ad Hoc Management

Against the backdrop of wider community conflicts which held implications for the planning and management of Carnival, the planning for Carnival 1982 represented a period of consolidation. There was now only one committee and the main challenge for organisers was securing enough funds with which to meet their responsibilities. There was improvement in the artistic content of the event with more costumed bands and other arts groups being able to access funding. Press reporting and broadcasting began to focus on the arts and away from the politics (LBC/IRN, 1982).

In 1983, the CAC established a carnival office at 7 Thorpe Close from which to co-ordinate, manage and develop the Carnival. By then, the numbers attending Carnival were estimated at 1,000,000. Gibbs, resigned as chairman in 1984 and was succeeded by Alex Pascall, a Black radio broadcaster. He continued the developments started by Gibbs; co-operated with the Authorities over establishing a new carnival route; agreed performance spaces; and negotiated the provision of public amenities. Pascall described the Carnival of 1984 as “organised chaos”, whilst the police reported on the crime statistics which showed an increase with nearly 600 reports (LBC/IRN, 1984).

Within the ranks of the police, there was also internal organisational conflict when a group of junior officers contacted the local newspaper disagreeing with their Commander's official statement of a "peaceful" Carnival. The newspaper published a front-page article under the headline **"Five hours of rape, violence and a killing; Carnival's Secret Timetable of Terror"** (Kensington News and Post, 14th September 1984; Moore, 2013, p.294). In July 1985, an influential group of residents threatened to take the police to court because of their failure to stop drugs dealing in All Saints Road. "Policing the Joint", was a special radio programme aired just prior to Carnival to explore the issue. The panel included a local Labour Councillor, the Conservative Member of Parliament, the Head of Policing Operations, and the Chairman of Carnival. Each person was asked about efforts being made to address the issue of drugs and crime at Carnival. In a rare public appearance, Rhaune Laslett phoned the programme and criticised the Carnival which, she said, had developed in a manner that was "not" her vision for it (LBC/IRN, 1985).

In 1987, trouble occurred at Carnival and there was a murder. The Deputy Assistant Commissioner commented on a particularly violent carnival with crowds of youths steaming in gangs, and using the sheer weight of numbers to terrify the crowd. Crime was up more than 60% on 1986 (LBC/IRN, 1987). These events marked a turning point in the attitudes of the Authorities and the people towards the management of Carnival¹⁶. They openly held the organisation responsible for the increase in crime. There were allegations of mismanagement and the competence and control exercised by the organisation were questioned.

¹⁶ Appendix VI

The Authorities therefore commissioned management consultants from Coopers and Lybrand, the highest rated accounting and auditing firm in the country, to carry out an organisational review of the Carnival.

At the same time, the police had taken the lead in bringing various interest groups together in a multi-agency forum known as the Carnival Support Group, to develop an operations strategy to pre-empt and deal with any trouble at Carnival. The strategy would involve the provision of adequate stewards; adopting a pre-determined route for the floats; controlling street traders and sound systems; and organising a programmed and orderly closure to the event. This was outlined in a "Notice of Agreement", signed by all parties. However, there was disagreement over the implementation of the Notice of Agreement, as no financial resources were allocated; and there was conflict between the group and the carnival management organisation. With less than two weeks before Carnival, the Local Authorities refused to issue licences for street trading; the 500 stewards agreed by the CAC had not been recruited, only 150; and the police responded by deploying 10,000 officers to carry out many of the duties they considered were stewarding duties (The Times, 20th August, 1988). Nevertheless, a reduction in crime was reported by the police (LBC/IRN, 1988).

5.3.5. Attempts at Carnival Management Re-organisation

After Carnival 1988, a series of meetings between senior officers from the police and the CAC 1988 was arranged. The purpose was to review Carnival 1988 and look at planning for 1989 in relation to the recommendations outlined in the

report from the organisational review by Coopers and Lybrand. In January 1989, without warning, the police launched an official investigation into alleged fraud by the carnival committee. Members of the committee were interviewed under caution by the police. The carnival office was subjected to a dawn police raid and all records were seized (see Figures 14 & 15). After the raid, meetings regarding planning became confrontational and political; discussions broke down; and no agreement was reached on the key issues of Carnival's organisation and management.

THE TIMES

Allegations over use of public funds by Notting Hill carnival organizers

Police search for 'missing profits'

By Stewart Tandler
Crime Reporter

A Scotland Yard squad is investigating the financial affairs of the Notting Hill carnival organization over the past two years, checking the use of public grants and the possible loss of thousands of pounds in revenue.

At the heart of the investigation is the question of whether hundreds of people might have creamed off the potential profits from the carnival which were intended to be ploughed back into the community.

Key areas of the investigation include allegations over the payment of stewards, payment of bills without receipts, the collection of money for non-existent stall licences, the allocation of genuine licences, the gate

returns from public events and the profits from liquor sales.

The funding and future of this year's carnival is under intense scrutiny. Funding groups including the Arts Council have already announced there will be no more money unless recommendations in an accountants' report are implemented.

Coopers & Lybrand called for a overhaul of the event. The Carnival Arts Committee, the organizers, should resign and the carnival should be run by a registered charity.

The report estimated the carnival could generate up to £30 million. Every year the event has ended up with a loss and creditors are owed £100,000. Prize-winners have yet to be paid.

Yesterday the Arts Council, which

paid out £98,000 last year, said funding would be conditional on the implementation of the report. A spokesman for Kensington and Chelsea council, which paid £55,000, said the council had told the committee it would get a grant this year only if it had moved "significantly and satisfactorily" towards achieving the report's recommendations.

Since the carnival police have seized a mass of material. One allegation centres on stewards' fees. Each was entitled to £60 a day and between 450 and 600 stewards are alleged to have been paid a total of £20,000. One name allegedly appears 20 times in one day and police are checking what was paid out against reports that the actual number of stewards was little more than 200.

Police are checking reports that the stewards' tee-shirts were being sold.

Another allegation involves an event arranged for the carnival on Wormwood Scrubs which charged £6 a head. It is claimed that 4,500 people attended the event and the returns were £2,700.

Street vendors are regulated but in 1987 an inspector in the Westminster council area of the carnival counted more than 1,000 vendors when only 300 licences were given for the event.

In the last carnival there were only 11 liquor licences but many more people were selling drink on the streets. Police are investigating whether people had paid for licences and had receipts but no licences.

Yesterday no one was available at the committee offices to comment.

Figure 14: "Police search for missing profits"
Source: The Times Newspaper, 21 January 1989

Carnival in fraud allegations

THE NOTTING Hill Carnival is under investigation by the Metropolitan Police over wide-ranging allegations of fraud, possibly involving hundreds of thousands of pounds, it emerged yesterday.

The allegations cover many aspects of the carnival administration in 1987 and 1988 including: payments to stewards; licensing of commercial stalls; receipts from functions associated with the carnival; and distribution of prizes.

Police are trying to confirm that all 500 people listed as stewards last year were paid. They are investigating the allocation of 300 general trading and 11 liquor licences and how unlicensed stalls were allowed to operate.

In 1987 the carnival received £300,000 in public funding, but made a loss which was paid off out of last year's grants. It is understood the carnival will shortly

By Terry Kirby
Crime Correspondent

report a sizeable loss for last year. The carnival, Europe's biggest street event attracting up to 1 million people, is organised by the Carnival Arts Committee, whose west London headquarters were raided by police in December when paperwork was seized.

As the scale of the investigation became clear yesterday, one of the carnival's principal supporters, the London Boroughs Grants Scheme, said all funding was suspended until the inquiry was over. It had allocated £52,500 for last year's event of which only £10,000 had so far been released towards payments for stewards, tents and publicity. A spokeswoman said: "No more money will be released until the police inquiry is com-

pleted." Aside from the investigation, the grants scheme and other fund providers, including the Arts Council and Greater London Arts, said they were, in any event, withholding funds pending evidence that recommendations in a report produced last year by Coopers & Lybrand, the management consultants, had been implemented.

The report said the carnival could make enormous profits which should be channelled to help deprived local communities and recommended that the current board of the committee should be dissolved.

Neither Alex Pascall, chairman of the carnival committee, or Victor Crichton, its treasurer, could be contacted by telephone for comment yesterday. There was no reply at the carnival offices in Notting Hill.

Figure 15: "Carnival in fraud allegations"

Source: The Independent Newspaper, 21 January 1989

When the audited accounts of the CAC were published, they reported losses of over £200,000. The committee argued that these losses stemmed from their attempt to capitalise on the enclosed pre-Carnival events, "as a source of generating income" (Coopers & Lybrand, 1988, p.45). The statutory funders called for the immediate resignation of the committee. They issued a press release and announced that they were not prepared to provide grant-aid unless the committee resigned and a new body established to implement the recommendations of the "Carnival Organisational and Management Review Report" and effectively manage the Carnival.

By May 1989, most of the committee, including its chairman had resigned and the staging of Carnival 1989 was in doubt. Those members of the committee

who remained, called a series of carnival community meetings to discuss the way forward. On 10th May 1989, approximately 300 members of the community gathered at the Tabernacle Community Centre to receive a presentation from Claire Holder, who had been the secretary to the meetings between the police and the carnival committee, and who had been asked at a previous meeting to suggest a way forward. After the presentation, the meeting unanimously mandated her to take on the role of Chairperson of the Notting Hill Carnival and establish a new committee to manage and develop it. She accepted the mandate, approached and selected interested persons to be part of the new management team.

In June 1989, Frank Crichlow was once more acquitted at a trial during which more than sixty-six police officers testified that heroin and cannabis had been found in his possession (LBC/IRN, 1989). His acquittal and the ongoing police investigation into the finances of the CAC, held implications for the issue of trust between the police and the Black community, the policing of Carnival, and cooperation between its new organisers and the Authorities.

5.3.6. Crisis and the Lack of Organisational Stability

The new management team approached the funders for the release of the funds that had been withheld from the CAC. The funders pointed out that legally, even with the change of management team, the organisational structure of the CAC was unsustainable, since that organisation had debts of over £200,000. Public funding could not be put towards addressing old debts. The new chairperson met

with and advised the committee. The advice was met with opposition, scorn and threats from members of the Mangrove Association. Holder was labelled a “lackey”, a “coconut” and a “police informer”. She was abused and threatened and at a particularly difficult meeting of the CAC, a table and chair were thrown at her. Holder walked away from the CAC, still holding the mandate to establish a new organisation.

In June 1989, Holder incorporated a new carnival management organisation as a company limited by guarantee and with a Board of Directors made up of a representative of each artistic discipline and four other persons to represent the wider community interests. The funders provided support for the initiative. Office space was rented from another community organisation and new Carnival Office was set up at 2, Thorpe Close, W10.

In order to avoid any further embarrassment from community conflicts and provide a new image for Carnival, the new organisation chose to have a Press Launch at the House of Commons. However, the event was infiltrated by individuals from the Mangrove Association, and in full glare of the media, they hurled abuse at members of the new committee calling them “Black lackeys” who were “selling out Black culture to the establishment” (Cohen, 1993, p.67; LBC/IRN, 1989). A few days later, they launched a “Save Carnival” meeting and proposed a rival carnival in the All Saints Road, the “frontline”¹⁷.

¹⁷ Urban speak to represent the frontline in the battle against the police and the Establishment.

More conflict arose between the new organisation and the Mangrove Association which sought to charge for and issue street-trading licences for 35 “official” sites in All Saints Road. At the same time Baptiste, the previous chairman of CDC, also claimed ownership of all intellectual property rights over the areas of Powis Square and All Saints Piazza, including all the street-trading sites within and without them. The two claims combined represented a considerable loss of revenue to Carnival, and exposed the endemic lack of accountability and control of previous carnival committees.

5.4. Concluding Comments

Despite the phenomenal growth in the numbers participating in Carnival, its management organisation was highly fragmented and the level of interaction between the management and stakeholders was generally poor. In this chapter, we have highlighted the amateurish behavioural patterns of the management and the resulting organisational ineffectiveness and discomfort. It is demonstrated that the organisational ineffectiveness of the management organisation, in the final analysis, was based on the adoption of management approaches that did not take into account the nature and enormity of the task. It was a case of disorder that repeatedly led to further disorder that implied nothing but inefficiency and ineffectiveness.

Some management theories have advocated that managers need to scrutinise the political and power constellations in and around organisations in more detail, and in terms of how these affect the behaviour of the organisation. These

concerns were totally ignored by those in charge of the carnival management organisation because they were not conscious and explicit about the managerial and organisational values that were required to maintain control of the inherently hectic, turbulent and fragmented carnival environment. To be successful in such an environment a manager would need to have considerable ability to identify the issues and their implications for the attainment of organisational effectiveness. The three general categories of skills relevant to managers in the carnival situation were inter-personal, cognitive and technical skills which were not evident. The increasing rate of change in the carnival environment suggested that the attainment of organisational effectiveness would require a higher level of skill and some new competencies.

6. CHANGE MANAGEMENT FOR ORGANISATIONAL EFFECTIVENESS

6.1. Introduction

This chapter provides a broad overview of the change management undertaken by the Notting Hill Carnival Trust from 1989 to 2002, with emphasis on the reasons underlying the necessity for the organisational change and the professionalisation of the management. It also offers an important insight into the key management skills required for the revitalisation of the management organisation. This is an aspect of great interest because it establishes the possible difference between amateurish and professional behaviour, and effectiveness. This section of the research will provide insights and practical knowledge about the management approaches adopted, which were based on long-term objectives and defined by the mission and vision of the organisation.

It demonstrates that as a not-for-profit organisation, the goal was to capitalise on fund-raising opportunities that would contribute to the goals of financial stability and self-sufficiency. Consequently, the problem of lack of credibility of the carnival's management organisation informed strategy formulation based on continuity and accountability. It shows how the relevant strategy took into account the need to foster the confidence and trust of the statutory funders and the police, and to strengthen the organisational ability to meet its public safety responsibilities. This chapter also highlights the fact that although the strategy of the organisation included changing the structure or the management processes, such changes were clearly relevant to the strategic objective of attaining a stable, credible and respectable organisation.

6.2. Critical Professional and Public Review

6.2.1. The Case for Organisational Change

The carnival organisational review prepared by Coopers and Lybrand in 1988, was expected to be central to any new organisational change programme¹⁸. The brief of the consultants was to provide a list of recommendations that could be implemented to achieve a better managed and self-sufficient Carnival. With a view to taking on the challenge of implementation, the new management organisation highlighted and analysed some of its findings and recommendations that held the key to future planning for development.

The report made reference to the results of a Harris Research Poll 1987 on “Attitude towards the Carnival” which had been commissioned by the Home Office and was based on a survey of retailers and residents of the area. It found that most residents were in favour of Carnival. Most felt that Carnival was good for the area overall; the majority disagreed that Carnival should be banned; and agreed that it promoted positive race relations. But, there was a negative side of Carnival where fear of crime, safety, over-crowding, noise levels, litter and drunken behaviour were of concern. Despite these concerns, few people wanted to see more police at Carnival. The review concluded that overall, the attitude towards Carnival was generally positive. Carnival was appreciated as a community event with which the Black community and the younger generation of non-Blacks identified. However, there was a need for a full-time professional body to plan and manage it.

¹⁸ Appendix VII

Against that backdrop, the consultants examined whether the Carnival's management organisation, the CAC, had the required level of skill and professionalism to plan and manage the Carnival to achieve self-sufficiency. The review suggested that the event's increasing popularity and growth in scale held enormous economic and social potential which could be exploited if properly managed. It was critical of how the organisation had dealt with issues "in a laid back and amateurish way" (Coopers & Lybrand, 1988, p.5). The report also suggested that commitment to improvement was lacking from all parties, including the funders and recommended that all parties should commit themselves wholeheartedly to Carnival and to its success, and work constructively together to that end.

The report noted that the growth of Carnival had made it a contentious event and because of the problems of the past, there was antagonism or ambivalence towards it. For the police, Carnival was a public safety headache planned to meet the conflicting demands of the "hands off" approach to avoid provocation and the "hands on" approach to control crime. Some local councillors representing residents who were adversely affected by it would prefer it to be banned, but tolerate it because it would probably be impossible to ban it. The Local Authority officers with the budget and management responsibilities for environmental health, found the Carnival exasperating and difficult to deal with. The Home Office with its responsibility for public order, often found it had to publicly respond to the continuing and disturbing street crime. Underlying these tensions was both real and perceived racism and misunderstanding. Much of the Black community in Notting Hill and throughout London treasured Carnival as the

highlight of the year but, as importantly, as a Black event run by Black people in a country where Black ownership and influence was very limited.

The review found that the Board did not sufficiently represent the Carnival or the community, and that the “ownership” attitude of the organisers needed to adjust to take into consideration the widening participation in the Carnival. It also found that there was no distinction between Board and management roles, and a complete absence of formal accountability for financial and operational actions. The financial system was found to be inadequate and not appropriate for Carnival’s size and level of activity; financial and management reporting was non-existent; and there was little accountability for funds. Overall, it was found that there was the general need to increase professionalism in planning and managing the Carnival, since the implications were considerable both in terms of the drive for acceptability and support, and in the elimination of the pressure to ban the Carnival. The review recommended that the management of the organisation should acquire management skills which reflect expertise in organising large-scale events, financial control, and communicating and negotiating at a high level. There was also the need to acquire new office premises within the community that had a more aesthetic and becoming appearance; looked more professional; and that would be appropriate for a company which organised such a visually pleasing event.

The review concluded that although the Carnival had changed over the years, few of those involved seemed aware of the magnitude of the planning, management, financial, logistics, safety and security tasks. Equally some of the

funding and statutory agencies had been slow to respond. The recommendations appealed to all major organisations with responsibility for the event to

- (i) appreciate its scale and its social and economic potential;
- (ii) be strongly committed to the event and its success;
- (iii) work together as appropriate to realise the success; and
- (iv) understand and be tolerant of the objectives and rights of others.

In framing the proposals for re-structuring the CAC, the report proposed five objectives, notably:

- (i) ensuring that the CAC was controlled by and representative of the local Black community from which it stemmed;
- (ii) securing support of most of the local community for Carnival;
- (iii) ensuring that the Carnival was professionally managed;
- (iv) providing the means of accountability to the community, funders and to the public; and
- (v) providing the means for the continued growth and development of the organisation and its activities in line with its main objects.

Recommendations for immediate implementation after Carnival 1988 were:

- (i) the dissolution of the Board of the CAC and an independent caretaker group established; and
- (ii) the establishment of a new company to manage and organise Carnival.

6.2.2. The Need for Professional Carnival Management

Following the publication of the organisational review and the events outlined above, the Notting Hill Carnival Enterprise Limited (NCEL) was established in May 1989. Initially, planning was urgent and short-term to deal with the issues for Carnival 1989. The system of management proposed was two-tiered, based on a Board of Directors for policy-making and a core staff of five persons responsible for policy implementation, and that was accountable to the Board. New office premises were acquired and five core staff and a manager for the stewards were recruited. Staff were employed based on fixed term contracts of three months' duration. They were supplemented by the chairperson who took on a voluntary executive role to help establish and manage the company, as well as provide leadership in pursuit of professionalism and improved credibility. The Board comprised nine directors, and three ex-officio staff members appointed to the posts of Director, Finance Director and Operations Manager.

Several operational tasks were identified for urgent attention. These included liaisons with the police on issues of public safety and law and order; the Local Authorities on issues of environmental health and safety; organising the

Carnival's artistic disciplines; implementing a programme of pre-Carnival activities; organising three live stages; recruiting the stewards; managing the sale of street-trading sites to the public; and building and developing judging points.

In planning for Carnival 1989, the organisation's emphasis was on financial accountability, communication and co-ordination at every level, as these were issues about which Carnival was potentially vulnerable. The strategy to effectively deal with these issues involved: identifying and communicating with those who had an interest in the event and were important for its effective management; the preparation, dissemination and communication of written plans and reports; and fostering multi-agency planning and collective responsibility.

The company was pledged funding support of £30,000 from the RBK&C, and the first instalment of £3,000 was paid by cheque which the company had difficulties cashing, since it had not been able to open a bank account. Banks in the area rejected applications because of the negative publicity and allegations stemming from the police's ongoing investigation into the CAC. The chairperson was asked to pay the debts left by the CAC before she could be allowed to establish a new account. Eventually, Barclays Bank allowed her to open an account for the company on the basis that she had to personally guarantee it.

Throughout the period of planning, the emphasis was on accountability. A system was established for the sale of street-trading sites that would enable the NCEL to account to the Local Authority by submission of its bank statements

after Carnival. The plans for erecting a super-tent on Wormwood Scrubs to host the pre-Carnival Activities were vetoed when the true cost of £225,000 was established. The decision to cancel these activities was initially met with anger and hostility from a faction of the carnival community called the Association for a People's Carnival. However, the Board was able to contain the hostility by direct communication with all carnivalists and through open reporting by the Finance Director. The revenue with which the NCEL organised Carnival 1989 was made up as follows (see Figure 16):

	£
Public Funding Sources	115,200
Sponsorship and Franchising	15,400
Street-trading Income	£25,400
Income from Other Sources	18,700
	<hr style="width: 100%; border: 0.5px solid black;"/>
	£174,700

Figure 16 : Notting Hill Carnival Income 1989
Source: NCT – Submissions to the GLA, Wednesday 4th July 2001.

After Carnival 1989, attention was turned to the future and the steps that were needed to secure Carnival's continuity and development. The immediate problem faced by the NCEL was the fact that all staff contracts had come to an end and there were no funding agreements in place or financial resources to ensure the stability and continuity of the organisation.

6.3. The Change Management Process: 1989 - 2002

6.3.1. The Foundations of the Carnival Change Initiative

The chairperson, being aware of the quality and professionalism of the staff was keen to retain them within the process of planning for the future. She knew that the Finance Manager was a Chartered Management Accountant with vast experience in re-organising and restructuring failing companies. It was therefore in the company's interest to retain his services for the foreseeable future to effect change to achieve development. After consultation with the Board, the chairperson prepared to make a case to the funders for future funding. The Finance Manager was tasked with preparing the Financial Report from Carnival 1989 and a Proposed Budget for Carnival 1990.

Developing the budget was undertaken as the most important task. It was aimed at securing the continued support of the statutory funders to meet the core activities of the event and to act as leverage to attract other sources of financial support. Financial plans were presented to the funders and their commitment to funding Carnival for the next year was secured, but with the caveat that it was their intention to phase out their funding support for the event, as Carnival should aim to achieve self-sufficiency.

One of the objectives of the organisation was to capitalise on fund-raising opportunities to contribute to the goal of self-sufficiency. The report by Coopers and Lybrand had made several recommendations about how income could be generated. One recommendation was the production of 4 million "carnival

buttons”, each button to be sold for 30p or 50p. Even if 50% of the buttons was to be sold, the Carnival still stood to gain £250,000. The report also suggested that if everyone attending the Carnival was made to pay a pound (£1), this could potentially generate £2,000,000. However, there were legal constraints about this type of fund-raising activity on the streets. One permissible activity was the sale of raffle tickets for which Carnival would have to apply to the Gaming Board of England and Wales. The NCEL decided to undertake the raffle of a car.

It was calculated that if at least 30% of the million attendees were to purchase a ticket at £1 each, then there would be sufficient income to put towards the development of Carnival. In trying to obtain the car the organisation encountered many difficulties with one car manufacturer even refusing to allow its corporate name to be associated with the event, because it was “nothing but trouble”. The organisation did eventually buy a car from Ford Motors at a deep discount. The car, a Ford Sierra LX 2000, was raffled. There were pre-Carnival sales of tickets and sales on the two days of Carnival. The car was placed on a float for display and driven through the streets. Only £18,000 was realised from this initiative. This represented the cost-price of the car and the cost of organising its raffle. Another initiative for fund-raising was the “£1 in the Ground” scheme. This was an initiative supported and administered by the RBK&C. It involved placing collection drums designed as steelpans, at key entry points to the carnival area. People were then encouraged to donate by throwing £1 coins and any loose change into the drums. After Carnival, Local Authority officers collected the receptacles. The scheme ran at a loss and cost over five times more to set up than the money collected.

6.3.2. The Impacts of Recent Organisational History

Lessons were learned from the failure of the above well-advertised and executed schemes about public perceptions and the credibility of the Carnival process. The Carnival lacked credibility due in part to its recent organisational history and the association of its image with mismanagement. Other factors that were identified as having contributed to Carnival's lack of credibility included its apparent instability, manifested in the rapid turnover and number of changes in its leadership over the years. Between 1970 and 1989, thirteen such changes had taken place. The fact that the Carnival had evolved without a vision was a major contributing factor to its lack of stability. Without a vision, the Carnival lacked direction, definition and structure. It had developed into an event that was made up of many disparate elements that needed to be coordinated and harmonised. Its organisational capacity and management capabilities had been overtaken by its rapid growth which brought new responsibilities. There was inadequate financial planning, the lack of controls and ineffective management.

Given its lack of focus and structure, it became impossible to shield Carnival from the impacts of occurrences in its immediate and wider social environments, such as the politics and misfortunes of the Mangrove Association; the tensions of the relationship between the police and Black communities; criticisms and actions stemming from residents' groups; and the omni-present, opportunistic crime which took on more heightened significance in Carnival. These factors affected Carnival's image, reputation, respectability, acceptance and ultimately its credibility. It was also recognised that there was a gap in public awareness and understanding of the Carnival's ethos of "celebration and commemoration".

The Finance Director advised that a more strategic approach was needed that would require a holistic review and analysis of the organisation and its many parts, and determination of its strategic orientation. This would enable the organisation to see how its different parts and concerns fit together, with a view to coordinating and harmonising the process and contributing to the achievement of its long-term goals. Ultimately, a strategic approach would assist in analysing Carnival's relationship with the social and economic environments within which it was operating, with a view to understanding their impacts and enable planning for the long-term.

6.3.3. Formulation of the Five Year Development Plan

The Finance Director suggested the need for a "Five Year Carnival Development and Business Plan" as the basis of a more strategic approach to Carnival's management and development. The formulation of long-term plans was to ensure the credibility and reputation of the Carnival. Planning was viewed as an essential activity to guide decision-making and yield many benefits. This was in line with the view expressed by the management theorist Ackoff, when he said:

Planning is a process that is fundamental to pursuing and achieving development. Planning is the design of a desired future and of effective ways of bringing it about (Ackoff, 1970, p.1).

Given his professional background and skills in strategic management, the Board tasked the Finance Director with preparing the "Plan"¹⁹. In developing the Plan, he recognised that the composition, size, social and economic importance

¹⁹ Appendix VIII

of the Carnival offered many opportunities for development; but that there were challenges to overcome before those opportunities could be realised. As such, a more strategic approach to its management would provide overall direction to the event and enable it to identify strategies to be able to capitalise on these opportunities. The purpose of the Plan was to address the structural fault lines in the management organisation to ensure financial stability.

6.3.4. Stakeholders of the Notting Hill Carnival

The starting point was the recognition that at the community level, arts, culture, and creativity have many stakeholders. Arts activities intersect with many other community processes and priorities, and are made possible through the collective efforts of both arts specific and other entities. The first step in developing the Plan was the identification of the Carnival's stakeholders for stakeholder analysis and policy formulation, by taking account of their needs and interests, and managing them. Freeman (1984) defined a stakeholder as any group or individual who can affect or is affected by the achievement of the organisation's objectives. In Carnival, the concept of the stakeholder was used to mean all those who had an interest in Carnival, whether direct or indirect, or were affected by it, and as such had a stake in policy development. Identification and analysis of stakeholders were done with a view to determining their role, the nature of their interests and their importance to the event, and developing strategies for the management of their various interests. The stakeholders fell into three categories, namely: those that were affected by Carnival, either positively or negatively; the intended beneficiaries and users of the services; and

those who were needed as a resource either physically or in an advisory capacity.

The Carnival had twenty-three, immediately identifiable stakeholders who were grouped as follows: the Artistic Disciplines; the Local Authorities; Funders and Major Statutory Authorities; Metropolitan Police Service and Other Emergency Services; Transport Facilities' Providers; Residents' Organisations; and others such as the Auditors, Sponsors, Street-traders, the Media and the wider Carnival Community (see Figure 17).

Stakeholders of the Notting Hill Carnival

As listed between 1989 and 2002

The Artistic Disciplines of Carnival

Mas Bands
Steelbands
Calypsonians
Static Sound Systems
Mobile Sound Systems
Carnival Associations
Stewards and Route Managers

Local Authorities

Royal Borough of Kensington and Chelsea
City of Westminster

Carnival Franchisees

Carnival Street-traders
Live Stages

Funders and Major Statutory Authorities

Home Office
Department of Culture Media and Sport
Arts Council of England
London Arts Board
London Boroughs Grants Scheme

Police and Other Emergency Services

Metropolitan Police Service
British Transport Police
St. John Ambulance
London Ambulance Service
London Fire Brigade

Transport Facilities Providers

London Buses
London Underground
Transport For London

Residents Organisations

Tenants Management Organisations
Residents Associations
Private Residents

Others

Professional Services Providers: Auditors, Solicitors and Bankers

Title and Secondary Sponsors, the Media, and the Carnival Community

Figure 17 : Notting Hill Carnival Stakeholders, 1989 - 2002
Source: NCT – Submissions to the GLA, Wednesday 4th July 2001.

The artistic disciplines of Carnival were the providers of its artistic content. They were the main stakeholders around whom the Carnival was developed and who provided its attractions. They were therefore integral and indispensable to the process. The Local Authorities were considered prominent stakeholders. They had legal responsibility for the area and for the provision of services that affected the daily life of the people. They had the authority to approve or disapprove of any activity that affected their residents and businesses in the area. The Local Authorities also provided essential support of environmental health and safety services.

The funders and the major statutory authorities were also prominent stakeholders. They provided essential core funding, enabling the Carnival to meet the essentials of its operations, contributing to the development of the arts and securing a comfortable carnival environment. The Metropolitan Police Service and other Emergency Services were prominent stakeholders and providers of emergency services to ensure public health and safety at the Carnival by addressing different emergencies simultaneously with their role as emergency services' providers to the people of the area. The police had their main and essential role of maintaining law and order.

The franchisees of the live stages and the street-trading sites were important stakeholders. Apart from providing additional dimensions to the culture of Carnival, they were also important income generating streams that had to be effectively planned, managed and protected. Transport facilities' providers were prominent stakeholders and caterers of transport, providing ease of access to

the public to Carnival, and enabling their safe and orderly dispersal from the area. Residents' organisations were secondary stakeholders that protected and represented the interests of some of the residents of the area who were affected by the hosting of the Carnival in their streets. Other stakeholders included people or organisations that were service, information or publicity providers whose roles and functions were important to the organisation but not critical to the management of the process.

6.4. Changing the Perceptions and Image of the Carnival

6.4.1. Requirement for Good Governance

The system of governance, general management and organisation was facilitated within the legal framework of a company limited by guarantee established in 1989 and later as a registered charity established in 1997, governed by the Companies Acts 1985 and 1989 and the Charities Act 1978 respectively. The system was designed to reflect and cope with the increasing size of the Carnival. It was recognised that the safety of the public could only be ensured through an effective management organisation that would need to work to co-ordinate and harmonise the process. Policies were therefore formulated and developed to ensure that the system of governance, general management and organisation would facilitate and meet these objectives, as well as promote accountability and collective responsibility

6.4.2. The Design of New Management Structures

In order to meet its organisational objectives and legal requirements, the design of the NCT organisation and management structure was to ensure that effective decisions were made and policies formulated; that no one person or group would dominate the organisation; the organisation would have stability and continuity; the membership would be aware of what was going on; and new ideas could be introduced to meet the challenge of growth and change. The design and structure were based on the principles of separation of powers, responsibility and accountability. They incorporated three levels of a Board of Directors; Executive Management Staff; and sub-committees and volunteers.

The first level of the Board of Directors, had the role of providing clear and decisive leadership by conducting formal and informal communication on behalf of the organisation. The Board was to set the parameters for objectives and initiatives; define the vision and mission of the organisation; form policy and ensure accountability; determine, approve and endorse key programmes and activities to ensure they met the strategic objectives; and plan the long-term development of the Carnival.

Given the objectives to be achieved, the company had to ensure that those who were elected onto the Board had the right characteristics that would enable them to contribute to the achievement of objectives and the development of the event. The key characteristics that were identified were, notably: good analytical skills (the Analytical), to enable careful dissection of issues, ground clearing, building and developing systems to provide the logic and the rationale

to make the organisation work; good organising skills (the Organiser), to manage the people and systems within the framework of policies and objectives; visionary qualities (the Visionary), to provide the entrepreneurial spirit, motivate and stimulate others; and the ability to integrate (the Integrator), and develop the good people skills necessary to ensure the success of the Plan, and generally hold the organisation together. The company recognised the reality that individuals did not immediately come with those characteristics and qualities, and invested in helping to cultivate them through encouragement and training.

The second level comprised the Executive Management Staff which was tasked with the day to day management of the company. The staff was accountable to the Board for the implementation of its policies; and the Board had responsibility for approval of detailed plans and the review of performance. Their methods of operation were to translate policies into specific programmes and actions; co-ordinate the work of the agencies that were working to facilitate the Carnival; plan, appraise and project manage all Carnival activities; let and manage contracts; manage the resources of the Carnival organisation; and monitor and assess progress, reporting back to the Board.

The third level consisted of special sub-committees and volunteers which were convened as and when required for specific tasks such as the Children's Carnival and Pre-Carnival Activities. They had no decision-making powers and could only make recommendations to Executive Management Staff for

suggestions on policy formulation. They also served to keep the wider membership and the carnival associations informed and engaged.

In developing the new organisation, the management of the NCT were guided by established theories of organisation and management and aimed to achieve effectiveness. The organisation was perceived as a set of social relations deliberately created, with the explicit intention of continuously accomplishing some specific goals or purposes; and a structure of relationships, power, objectives, roles, activities, communications and other factors that exist when persons work together (Hicks, 1976; Stinchcombe, 1964; University of Washington, 1999). It bore the characteristic which distinguished it from other collections of people, that of commitment to achieving members' goals by means of an explicit and stable structure of task allocations, roles, and responsibilities (Starbuck, 1965). The management theorist Drucker (1998) suggested three criteria for effective organisations which were evidenced within the NCT's system:

- (i) they must be organised for business performance;
- (ii) their structure should contain the least number of management levels;
- (iii) the organisational structure should facilitate training and testing of future organisation leaders.

Thus, the organisational management of the NCT was a process of planning, organising, leading and controlling the efforts of the organisation's members and resources to achieve the stated organisational goals.

6.4.3. Development of the Carnival's Organisational Vision

Identifying, establishing and communicating the organisational vision was of paramount importance to the NCT. It was recognised that the fact of organisation is sustained by the organisational vision, a powerful and coherent statement of the long-term aims of the organisation that provides an ideal and unique image of the future. It was viewed as being of fundamental importance to organisational success and effectiveness; and the embodiment of the organisational identity, creed and motto, functioning as a unifying tool to get all members of the organisation working toward shared goals (Margolis & Hansen, 2003; McLean & De Mars, 2006; Wilson, 1992). It provided unanimity of purpose and imbued the members with a sense of belonging, identity and commitment (Mintzberg, 1994). It was the organisational anchor that provided direction (Ancona et al., 2001); and facilitated commitment and the transcending of self-interest (Conger, 1989). The organisation was mindful of the academic view that strategic plans invariably fail when there is no over-arching vision driving them (Kaplan & Norton, 2000, 2006). Communicating the organisational vision was facilitated through the exchange of information and understanding with intent to build positive relationships, motivate or influence behaviour and consolidate support for the success of the change initiative (Daft, 1997).

Communication was not necessarily a smooth process without difficulties. In order to overcome barriers to communication, the NCT found that it was important to understand their underlying causes, and conducted the necessary research. Common barriers to communication included psychological, political,

economic and cultural factors. It was noticed that some stakeholders felt anxious about crossing the threshold of the Carnival Office because of rumours about people and activities that were thought to be going on there; others, such as those who represented some of the statutory bodies, became very political with the organisation and Carnival. Some were not able to appreciate the causes for the disparities between what they were able to do within their financially resourced organisation and what Carnival could afford to do within its limited financial resources or authority; or why Carnival's management priorities may be different from their own organisations. Communication had to be more than informational. It had to be constitutive of creating and negotiating the meanings and interpretations that shaped the carnival process (Koschmann, 2012).

6.4.4. The Fundamentals of Stable Organisation

In 1991, for a period of twelve weeks, the carnival organisation was without an office base. It had been frustrated out of its premises due to interference from a local community member. The organisation made a formal approach to the Local Authority for one of its many premises held locally. The Authority offered a small sweetshop/kiosk with the capacity to hold one desk. The Notting Hill Methodist Church assisted by offering the Church as a meeting place, and the chairperson conducted the administration from her home address for the twelve weeks it took to resolve the problem. Eventually, commercial premises were found at 332 Ladbrooke Grove, London W10, which were well beyond the Carnival's budget. However, the Board took a pragmatic decision based on organisational need and

flexibility was applied to enable the re-organising of the budget to afford the renting of the premises at the rate of £44,000 per annum.

The premises were well-appointed and served as a co-ordinating point and meeting space for all members and artistic disciplines, providing them with much needed stability. It was recognised that a more professional environment could help shape their behaviour and responses towards the organisation and its initiatives. The goal was also to establish a learning environment that would foster better communication, co-operation, a sense of belonging and lay the foundations for the assumption of collective responsibility.

6.5. Concluding Comments

The content of this chapter has shown how the management professionals were able to engage with their most pertinent challenges, in terms of their constitutive values and constructs. The chapter has provided a platform that ultimately shows how management professionals were able to deal with strategy formulation which is one of the most difficult responsibilities of management. The most prominent outcome was the overcoming of the fundamental challenge of identifying and agreeing on the shared sense of purpose of the carnival management organisation.

Another key issue was the development and determination of long-term objectives and priorities. It was realised that when there are multiple stakeholders, objectives and priorities should be determined to indicate their

relative importance and benefits. Another finding was that an executive management team is more important in a complex, rapidly changing carnival environment that places many stakeholder demands on the organisation. It may be argued that a single leader is unlikely to have the broad expertise necessary to direct, control and integrate the varied activities of the Carnival.

As mentioned above, it is also demonstrated that the development of a shared sense of purpose is a key challenge in management which may inform the organisational design and structure, as well as the management process. Core competencies was the key to the success of the Notting Hill Carnival Trust. This involved the combination of management expertise and application of skills. The change management process materialised because the core competencies were identified and the NCT built a strategy around them. Core competencies were vital and important for the revitalisation of the management organisation of the Notting Hill Carnival.

7. TRANSFORMATION OF THE CULTURE OF MANAGEMENT

7.1. Introduction

The preceding chapter reviewed the necessity for the revitalisation of the management organisation of the Notting Hill Carnival and the employment of management professionals for the purpose. This chapter describes the specific management approaches and practices that were adopted and utilised in the transformation of the culture of the management. It highlights the various management change initiatives which included organisational development and training programmes, as well as the development of the carnival disciplines and associations. The goal was the improvement of the stakeholder relationships through the establishment of effective communication channels and contacts.

The chapter also focuses on the challenge of developing a stable carnival environment through carnival awareness training and education, effective public safety management, and the launching of the Carnival Arts Development Initiative. It then turns on the marketing and promotion initiatives to encourage a view of the carnival arts as a desirable and attractive leisure activity, and to address the negative perceptions of the Carnival. The new framework presented for funding the Carnival through the attraction of private sector sponsorship, is illustrative of the need to enhance the reputation of its management organisation. It also explains the fundamentals of the carnival marketing strategy. The chapter outlines the key achievements of the Notting Hill Carnival Trust (NCT) arising from improved organisational stability; enhanced carnival

reputation and credibility; as well as the positive image and perception of the Carnival.

7.2. Approaches to Management and Organisational Development

7.2.1. Organisational Development and Training Programmes

Once the organisation and its administration were organised and settled into the new premises, attention was turned towards the strategy for developing the management and staff to assume their roles and responsibilities in a professional manner. To that end, training was made a priority and no member of management or staff was exempt. Training was delivered in a number of ways, both formally and informally, in-house as well as through external training providers. It was also made accessible to the affiliated carnival associations, their members and the wider membership as part of a value chain for the long-term benefit of the organisation and ultimately Carnival.

Elements of the management skills and professionalism that were required for effective management and meeting the objectives included: expertise in organising large-scale events; communicating and negotiating at a high level; financial management and control; effective and organised administrative skills; and some knowledge of events management. Staff members were also expected to demonstrate characteristics of integrity, respect, loyalty and dedication. It was important for the organisation to employ the right people in whom the Board could have confidence and trust;

and who were the faces of the organisation to represent and protect its interests and the interests of the wider carnival community.

Professionalism in planning and managing the Carnival was of utmost importance, since the implications were considerable, both in the safety of the million carnival spectators and the drive for credibility, acceptability and support for the process. It contributed to promoting trust and confidence in the organisation; was image enhancing; provided safeguards for the health, safety and welfare of the millions of spectators by demonstrating responsibility for their welfare; enabled the hosting of an attractive, enjoyable and successful event; and underpinned the drive for a stable, efficient and disciplined carnival environment.

The professionalism required was based on sound policy formulation and implementation to promote trust and faith in the ability of the organisation to contribute to ensuring the maximum safety of the public; and to strengthen the fabric of the carnival arts by creating an optimum environment for the development of the best possible artistic expression. Part of the overall professionalism of the organisation was demonstrated in its emphasis on regular performance review and evaluation. There was a review and evaluation culture that adopted an action-oriented perspective that actively sought solutions to problems, trying out tentative ones and weighing the results and consequences of actions, within an endless cycle of evidence-based problem solving. In this activist evaluation culture, innovative approaches at all levels were encouraged and evaluation was forward-looking, anticipating where evaluation feedback

would be needed rather than just reacting to situations as they arose (Boulmetis & Dutwin, 2005; Trochim & Donnelly 2006). There was strong commitment to achieving tangible managerial change and development that included a strict attitude towards the management of time and priorities.

Board performance was regularly reviewed, as the Board needed to be capable of providing appropriate leadership. Induction and ongoing training in general management skills were imperatives. Behaviour, attitudes and skills were cultivated in people, and improvement was effected through association with others from different organisations as part of the acquisition of reputational resources. The organisation held two annual residential seminars at the Lane End Conference Centre in Buckinghamshire²⁰. These events provided opportunities for training, open review and more detailed attention and focus on all plans for hosting the Carnival.

This approach to developing leadership qualities was consistent with the nudge theory, and was aimed at changing and improving individuals and groups through indirect methods, rather than by direct enforcement or instruction. The indirect methods were more able to minimise resistance and confrontation, which commonly arise from more forceful directing and autocratic methods of changing people and their behaviour. The approach was indirect, subtle and non-judgmental. It enabled understanding, education, and it informed. Ultimately, it facilitated self-discovery and openness, and demonstrated that people can be

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helped to think appropriately and make better decisions by being offered choices that have been designed to enable specific outcomes (Thaler & Sunstein, 2008).

Professionalism in planning and managing was also demonstrated in good financial controls and systems for accountability that were essential to enhance, stabilise and contribute to the credibility of the carnival process. The organisation developed specific financial objectives that were designed to safeguard the financial future of the Carnival; and “Financial Control Systems and Regulations”²¹ to address the objectives of accountability, transparency, stability and credibility. At the core of the financial management of the organisation was the organisational need to: maintain fully integrated financial policies and objectives and sound systems of financial management; assess risk generally and ensure viability; maximise income and provide for future expenditure; control costs and operate with financial efficiency; plan and control finances by means of a management plan and budget, and reports on out-turn; and be open and accountable to the public and to those it served.

7.2.2. Development of the Carnival Disciplines and Associations

The Plan made provision for input in the organisation and management of the affiliated carnival associations and groups. It was recognised that the more organised and structured they were, the better the quality and level of their participation in the management of Carnival. The goal was for them to become more integrated within a broader social, economic and cultural climate,

²¹ Appendix X

recognising that carnival arts did not only contribute to the cultural and leisure industry, but also played an essential role in the development of other areas such as education, the economy and the physical environment. Opportunities were sought to improve their connection and collaboration with the economic sector and the organisation worked with them to prepare them to be able to capitalise on these opportunities.

Marketing and promotional techniques were used to attract more participants to the carnival process and support a broad range of programmes and projects to bring the carnival arts and the education sector into productive relationships. Numerous workshops and performances at various educational establishments were arranged, and the concept of the Notting Hill Carnival Roadshow was an initiative undertaken under this policy. It facilitated cultural and educational exchanges with communities in the UK and abroad and broadened the outlook of those carnivalists selected to be part of the process.

7.2.3. Improvement of Stakeholder Relationships

The company recognised that without the consent and co-operation of the residents of the area, Carnival could not be hosted, sustained or developed. The environmental impacts of Carnival on the area were shown through the Harris Research Poll of 1987, as being the cause of anxiety and negative perceptions about the event. The NCT sought to capitalise on the goodwill of the residents as part of the wider strategy for stakeholder management. Strengthening relations

through effective communication with the residents was therefore a strategic imperative.

7.2.4. New Approaches to Communication and Contacts

The production and door to door distribution of a carnival newsletter were implemented. It contained essential information about carnival activities; road closures and their times; and the siting of sound systems, street-trading sites and toilet facilities. It also provided information about the culture of Carnival and the local groups that were taking part so that residents could get involved. Most importantly, the newsletter included the number of a designated “Residents’ Careline” to receive concerns or complaints arising during Carnival.

Open carnival meetings were hosted pre-and-post Carnival. These meetings included presentations of operational plans by all the main agencies and organisations and were fora for discussion and feedback, enabling residents to engage with all agencies and make an input to future policy development.

In order to foster cooperation and working together to address issues, the carnival management organisation made a number of conciliatory approaches to residents. These included paying for coaches to take up to 100 residents for a day trip to the seaside during Carnival. Carnival also met with the residents’ associations to identify ways in which residents could capitalise on opportunities presented by the presence of Carnival. The residents’ associations were encouraged to use the forecourts of their housing estates for trading and fund-

raising; and the organisation provided the Residents' Association at the Portobello Court Estate an annual grant of £400 as seed funding to purchase food stock for resale and fund-raising.

Two representatives from residents' associations were invited to the residential seminars hosted by Carnival at the Lane End Conference Centre, enabling them to obtain an insider's view of the planning. Residents were employed as stewards and guides. Carnival also ensured that any benefits in kind from sponsors were distributed as widely as possible amongst them. Through this process of active communication with residents, "Friends of Carnival" were created and residents offered their skills to enhance the process. One resident presented a theoretical model proposing the development of software to predict the "kill ratio" of crowd flows and crushing, to pre-empt the risk of disaster and facilitate more effective disaster management planning (Renfree, 1996).

7.3. Carnival Environment Improvement Initiatives

7.3.1. Carnival Awareness Training and Education

It was recognised that major long-term solutions to the negative perceptions of the Carnival laid in education and awareness of its more positive aspects. Action was taken to identify and minimise any physical and other barriers which may have prevented access to participation and enjoyment of the carnival arts, by improving their accessibility. Steps were taken to improve and develop the pre-Carnival activities as an essential prelude to the Carnival, with the objective of introducing stability and goal congruence into the process and promote their

accessibility. These activities were held at suitable venues which included the Olympia Exhibition Centre, Wembley Arena and the Millennium Dome. Entry fees at these events were either dispensed with or lowered, making them more affordable and accessible, attracting more family participation and increasing audience attendance.

The organisation also sought to address barriers to engaging in the carnival arts that were caused by an inadequate, threatening or un-attractive physical environment in which some of groups operated on Carnival Day. Changing places were found or were established in some streets that acted as comfort zones, so that the bands could provide proper care and hospitality for their members. Approaches were made to local churches, halls, car parks and business premises as sites for use by the groups. Bannering and buntings were displayed for two weeks prior to Carnival to demarcate the carnival area, provide a festive environment and generate excitement in anticipation of the festivities to come.

Hosting competitions for the artistic disciplines was important for boosting morale and rewarding their hard work. The organisation developed a major Judging Point at Westbourne Grove, the crossing of which was the highlight for all groups. It was made attractive to the public and sponsors with the siting of a large Jumbotron Screen which captured the essence of performance, provided safety information, and provided evidence for use in post-Carnival artistic performance evaluation. Ancillary facilities like bars for adults and playgrounds

for children were developed to encourage family participation and feelings of comfort and safety.

The organisation worked with the Local Authority to provide more and better toilet facilities with flushing toilets and toilets for the disabled. This served to partially address the complaints of residents about the way in which people defiled the streets, gardens, doorways and basements because of the insufficiency and lack of quality in these amenities; meet the public health and safety requirements; and contribute towards improving the enjoyment of the Carnival environment

7.3.2. Requirement for Effective Public Safety Management

There was a fundamental requirement for the NCT to ensure the safety of the carnival spectator and visitor. This required a major input of financial and human resources, neither of which was available to the NCT in adequate measure. Public Safety Management represented an area of major vulnerability and exposure of the organisation to attacks on its ability to organise and manage the event. However, in accordance with the terms of reference of the Carnival Liaison Group and later the Public Safety Management Committee (PSMG), public safety was assumed as the joint responsibility of the main stakeholders, each contributing of their resources and know-how in relation to the different domains of its management. There was even joint disaster-management training, to facilitate a consistent

approach in the event of a disaster²². The group was responsible for drafting the “Statement of Intent and Code of Practice”, a joint agency agreement aimed at ensuring a trouble-free Carnival and facilitating safe passage to and from the event. The 1996 document stated that public safety management involved:

... various organisations, including Notting Hill Carnival Limited (NCL), Royal Borough of Kensington and Chelsea (RBK&C), City of Westminster (WCC), Metropolitan Police Service (MPS), British Transport Police (BTP), London Ambulance Service (LAS), St. John Ambulance Brigade, London Regional Transport (LRT), London Underground Limited (LUL) and London Fire Brigade (LFB)

and that:

It entails a high degree of organisation, co-ordination and co-operation between all these various agencies to consider and address the diverse issues of public safety, public order, public health and hygiene, noise pollution and the many other concerns of the participants and residents of the area. It also involves maintaining the event as a public spectacle and educating the community in its various art forms at the same time as heightening their awareness of public safety.

and that:

Whilst all parties will endeavour to carry out their duties in accordance with this Statement, it is not intended that it should create a legally binding contract between them.

All parties therefore agreed to the following:

²² In 1996, based on the knowledge that a train arrived every two minutes with over 1000 passengers between 12:00 and 17:00 hrs on Carnival day at Westbourne Park Tube Station, the police and London Transport closed the station for two days in July and simulated a train crash with multiple casualties. All members of the PSMG attended for disaster management training.

We the signatories to this document intend to achieve this by:-

1. Managing the processional route so as to ensure the maximum public safety for people attending the event.
2. Ensuring a trouble-free Carnival to assure its continuance, by deterring criminal activity and maintaining the Queen's Peace.
3. Facilitating the safe passage to and from the event of Carnivalists and other people attending.
4. Providing a co-ordinated stance to Carnival by Local Authorities, NCL, police and other parties involved in the event.
5. Aim to prevent any unnecessary noise, disturbance or obstruction to residents during the Carnival period.

It is accepted that in the event of an emergency or sudden change of circumstances the senior police officer reserves the right to use all resources at their disposal as they consider necessary, although prior notice of any revision to this Statement and Code will be given, wherever practicable.

Meetings of the group were eventually moved to the Carnival Office and were chaired by the NCT, signifying the NCT's growth in stature and credibility, and its ability to contribute meaningfully towards managing the health and public safety issues of the Carnival.

7.3.3. Marketing and Promotion of the Carnival Arts

Marketing and promotion initiatives were undertaken to encourage a view of the carnival arts as a desirable and attractive leisure activity to encourage more people to participate, and at the same time address the negative image and perceptions that lingered. Groups were given financial incentives to improve their productions and be more inclusive of the diversity of talent to be found locally. The NCT distributed prize monies, appearance fees or Carnival Arts Development Grants as important routes through which financial support could be channelled to the artistic disciplines. The system served to strengthen the cohesion and stability of the artistic disciplines and ensured their continued support for the work of the organisation towards the achievement of its objectives. The view of participation fostered was that it was not to be limited to the artistic disciplines. The sub-theme of Carnival was that “Every Spectator is a Participant”. Thus, by attending, one would become a “spectator-participant” or “participant-spectator”.

The company engaged a professional Marketing Manager to pursue opportunities and initiatives to promote carnival arts. The marketing initiatives included working with the groups to improve their ability to capitalise on opportunities. Seminars and training programmes in marketing skills and support to enable them to meet latent demand were given. An “Invitation to Participate” brochure in which contact details and details of the themes being portrayed by different bands, was widely distributed. This had the desired effect of encouraging integrated participation from many local communities with carnival groups based in their areas.

7.3.4. The Importance of the Carnival Magazine

A major tool in the marketing strategy was the production of the Annual “Carnival Magazine”. The magazine had been a feature of Carnival since 1982. It was sold at the price of £1 and its distribution was approximately 10,000. In 1990, the NCT decided to franchise the right to produce it²³. In 1994, the franchisee, Ashley House Publishing, entered partnership with London’s Evening Standard newspaper to publish the “Official Carnival Magazine”. This resulted in the production of a magazine of much improved quality, the circulation of which increased exponentially to 1,000,000 copies which were distributed with the newspaper. This was image enhancing; attracted sponsors; and served to take the arts and culture of Carnival to new audiences.

The Marketing Manager also had responsibility for organising the Carnival’s Press Launch that would seek to provide an appropriate and comfortable setting in which to inform the press and public of the plans for Carnival; the meaning and culture of Carnival; and its positive attributes as a community festival of arts. After 1989, the event was hosted locally at venues such as the headquarters of Virgin Records, Portobello Dock and at St. Charles Catholic Sixth Form College, a cloistered local setting described as an “oasis of calm”.

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7.3.5. Live Stages and Licensed Street Trading

The Carnival had four Live Stage sites at Hornimans Pleasance, Portobello Green, Powis Square and Meanwhile Gardens. In 1990, the NCT developed a new strategy for their production that would enable them to retain their character, improve their quality, attract new audiences and at the same time contribute to the economic development of Carnival. The NCT franchised the right to host concerts at these sites to major radio stations. Thus, the live stage area at Horniman's Pleasance which had the largest audience capacity, was franchised to radio stations Kiss FM and later BBC Radio One. These companies not only paid a franchise fee to Carnival, but also defrayed the costs of setting up the sites and booking international artists of their choice. As broadcasters, they could broadcast live from Carnival and attract new audiences.

The Notting Hill Carnival became known for its array of ethnic foods that cut across Caribbean, African and Asian cuisines. The opportunity to legally trade at Carnival was open to anyone willing to purchase a licence through the NCT and undergo food hygiene, health and safety training provided by the Local Authority. The system was based on partnership working between NCT and the RBK&C, enabling the NCT to earn much needed income to put towards its operations. The licensed street-trading was also an important part of NCT's marketing strategy, as the street-traders could be used for product placement and distribution of sponsors' goods.

7.3.6. Carnival Arts Development Initiative

There was an overriding necessity for business sponsorship of the Carnival to facilitate its continued development and financial health, and that was also aimed at ensuring the financial and physical welfare of the Carnival's artistic disciplines. Steps were undertaken to establish significant levels of financial support and incentives for the continued development of innovatory work in the field of carnival arts. There were substantially improved Appearance Fees and Competition Prizes; and the introduction of a new category of fees called Carnival Arts Development Grants. Physical support and support with logistics were offered by the NCT through the provision of assistance to secure adequate venues and by facilitating and negotiating access to reasonable commercial deals for the provision of logistics and facilities.

In addition, small-scale financial support was given to the groups by the provision of opportunities to generate funds. One such opportunity was the allocation of a street-trading site at Carnival to all bands and sound systems. As the credibility of Carnival grew, so too did interest in it from smaller corporate entities. The NCT therefore had access to a range of smaller sponsors which it was able to partner with struggling groups. The policy benefited some of the smaller groups by as much as £10,000 of sponsorship.

The long-term strategy for the improvement of the financial base of the carnival associations was to be through the creation of a Carnival Development Fund, created from a percentage of sponsorship funds received by NCT. This initiative was aimed at stimulating and providing an adequate and appropriate

platform for the development and improvement of the carnival arts in all its forms; creating access to training and education in carnival arts; improving employment opportunities; stimulating and enabling economic development; and providing a community dimension for vocational training and employment promotion projects in carnival arts.

7.3.7. Carnival Finance and Funding of the Carnival

By placing emphasis on business planning and marketing, the NCT confirmed its intentions to raise money from other sources and to meet as much of the costs of the Carnival from that income when possible. Working towards achieving that goal required continued support from the statutory funders. Thus, the organisation used its Five Year Carnival Business and Development Plan to illustrate the essential role of the statutory funders and called upon them to continue their financial support until the process could be more made economically viable. Their support was necessary as leverage to attract other financial support.

The acquisition of business sponsorship was essential for financial viability and the achievement of Carnival's goals. Opportunities to raise sponsorship were presented by the fact that at the time business sponsorship of the arts had expanded considerably as part of their corporate social responsibility and Carnival was well-positioned to capitalise on such opportunities. The organisation developed a practical and workable marketing and sponsorship strategy and framework by identifying the following:

- (i) what sponsorship might do to help achieve its objectives;
- (ii) what sponsorship might do to strengthen the promotion and development of the carnival arts and products; and
- (iii) how sponsorship might fit the character of the carnival process.

Thus, the organisation identified four areas of its operations for which it was seeking sponsorship:

- (i) Revenue Funding (General Sponsorship);
- (ii) Revenue Funding II (Direct Sponsorship for Carnival groups);
- (iii) Capital Expenditure Funding;
- (iv) Project Funding (Pre-Carnival Activities).

The strategy to achieve the above involved the engagement of a consultant to take responsibility for the acquisition and management of sponsorship within the following framework of responsibilities:

- (i) Assessment of the Notting Hill Carnival and its organisation to identify its requirements and resources.
- (ii) Development of marketing and sponsorship programmes, together with appropriate benefits to the sponsor.
- (iii) Assessment of the marketing strengths and weaknesses, opportunities and threats as they exist in the Carnival environment.

- (iv) Researching the market place, and the development of an information bank.
- (v) Development of strategies for making successful approaches to sponsors.
- (vi) Development and maintenance of good working relationships with sponsors.
- (vii) Development and marketing of the products of the Carnival

The organisation recognised that the carnival process and its products attracted the spectators and that the presence of spectators was attractive to sponsors. Therefore, the policies developed by the NCT were also aimed at harmonising these three factors, the results of which were expected to be incremental.

Key to the achievement of business sponsorship was the accumulation of reputational resources or reputational capital as a relational and an important strategy to enhance the credibility of Carnival and achieve business sponsorship towards its goal of financial stability. Carnival's reputational resources could be defined as its benefit from its association with leading companies, organisations and institutions with strong credibility and brand reputations, association with which could also enhance Carnival's reputation. The accumulation of reputational resources was important for enhancing trust and confidence in the Carnival that could be leveraged for strategic advantage and long-term financial performance. Jackson (2004, p.1) refers to this as the "Economics of Character and Credibility"; and others, a value-based composite that ranges from commerce to compliance (Dowling, 2004; Jackson, 2004). As suggested by Cole

and Macleod (2016) in their reputation-value analysis of companies, it is not just about how well a company is known but what it is known for that matters.

Decisions taken that enabled the accumulation of reputational resources and contributed to enhancing the credibility of the carnival process included securing the services of highly reputable companies and organisations such as PriceWaterHouseCoopers as the auditors for Carnival, thus assuring the integrity and reliability of the Carnival's financial statements. Another was Carnival's ability to promote the fact that the statutory funders continued to lend their support to the process. Other high profile organisations whose support carried the same weight and could be used to garner the support of others, thereby enhancing Carnival's competitive leverage were the Royal Airforce, the Royal Navy, the British Army and the London Fire Brigade which all participated in Carnival with their own uniformed contingents and presentations of floats.

Other types of reputational resources included: endorsements for the organisation's sponsorship drive by high profile individuals such as Prince Charles, Prime Minister Margaret Thatcher and the Head of the Commonwealth Secretariat amongst others²⁴; the Royal Mail's issue of stamps depicting Notting Hill Carnival costumes, 28 million of which were printed for sale and world-wide distribution (see Figure 18); the publishing of the Official Carnival Magazine by the Evening Standard Newspaper ensuring its wider circulation to 1,000,000 readers, promoting its accessibility and acceptability. Internally, NCT ensured that it continued to present a professional image at its offices; and that its

²⁴ Appendix XII

presentations and requests for sponsorship met the required standards by being well-presented, appropriate and relevant to the targeted sponsor to fulfil purposes such as corporate image enhancement, product awareness, employee loyalty and/or recruitment and improved contact with opinion formers.



Figure 18: Royal Mail Special Edition Carnival Stamps 1998
Source: Royal Mail

7.3.8. The Fundamentals of the Carnival Marketing Strategy

The NCT was able to improve its finances through the implementation of its marketing strategy for the acquisition of sponsorship. Opportunities were presented as the carnival process became more attractive to private sector companies, as an appropriate context in which to market their products or services and reach new markets. The NCT attracted Carnival's first title sponsor

in 1995 with “Lilt”, a brand of Coca Cola. The Carnival was re-titled, the “Lilt Notting Hill Carnival”. As a result of securing that sponsorship, the Carnival was given an excellence award of £30,000 by the Association for Business Sponsorship of the Arts (ABSA). The relationship with Coca Cola produced many other benefits, namely: underpinned the event and its management’s credibility; provided much needed income and investment; created a partnership between the community and the corporate sector; enhanced the event’s reputation and credibility; facilitated improvement in its operational planning, practices and standards; and encouraged the transference of new knowledge about marketing, press and public relations. It also attracted and acted as leverage for other corporate sponsorship.

Other sponsors included Dulux Paints which implemented an innovative and award-winning sponsorship and marketing initiative, by painting every lamppost in and around the carnival route in the different colours of its paint chart. At the end of the three-year period of the Lilt sponsorship, Carnival was approached by the largest food company in the world, Nestlé. Unfortunately, their product was not ready and title sponsorship was successfully secured by Virgin Atlantic Airways, with Carnival becoming known as the “Virgin Atlantic Notting Hill Carnival”. In 1999, Western Union Money Transfer became the next title sponsor with a three-year contract, and Carnival was re-titled the “Western Union Notting Hill Carnival”. That year Carnival also recorded twenty-nine²⁵ secondary sponsors that ranged from BBC Radio One which sponsored a live stage, to Enza Fruit New Zealand which launched its hairless kiwi fruit by distributing

²⁵ p.23, Notting Hill Carnival Trust, Trustees’ Report and Accounts For the Year Ended 30 September 1999

250,000 of them at Carnival. The makers of Pampers were also encouraged to sponsor a children's play area, providing the Meanwhile Gardens Community Association with several thousand pounds and a stock of free nappies for their nursery. One company competitively engaged in ambush marketing²⁶.

7.4. Achievements of the Notting Hill Carnival Trust

7.4.1. Development of the Carnival's Strategic Capabilities

In September 2000, the Mayor of London announced the establishment of an independent and wide-ranging review of the future development of Carnival as "London's largest cultural festival". The review was to address the operation and management of all aspects of the Carnival, as well as longer-term trends and opportunities for the event's development. It was undertaken through a series of public hearings during which evidence was taken from a range of stakeholders.

In an evidence gathering session of 04th July 2001, the Chief Executive and Finance Director of the NCT presented an evaluative summary of outcomes and achievements stemming from the strategic management of Carnival. An outline of the policies, strategies, methods and the approach to evaluation was provided under the headings:

- (i) Achieving a financially stable organisation
- (ii) Improving provision for the carnival arts

²⁶ British Airways sought to undermine Virgin Atlantic Airways' title sponsorship of the Carnival, by purchasing advertising space at the Judging Point and prominently displaying their logo.

- (iii) Developing effective working relations with all the stakeholders for a better and safer carnival
- (iv) Improving the credibility and attractiveness of the carnival process to more private sector companies as an appropriate context in which to market their products or services
- (v) Enhancing the popularity of the Notting Hill Carnival brand through the Notting Hill Carnival Roadshow, taking the Carnival Arts to new audiences across the UK and world-wide

The approach to performance review and evaluation of strategies for achieving the objective of credibility was largely qualitative and incorporated both impact assessment and cost-benefit-analysis based on the use of a range of methods that included participants and spectators' surveys; analysis of press and media clippings; and stakeholder satisfaction. Financial performance such as cash flow and income generation was monitored as being essential for the conduct of operations²⁷. Other important evaluative criteria included:

vulnerabilities: the risks to which Carnival was exposed, with a view to identifying and managing them;

flexibility: the ability of the organisation to adapt quickly to changing circumstances in the carnival environment;

effectiveness: whether the organisation was doing the right thing well;

resources: the factors or resources which the organisation could control;

capabilities: meaning all the competencies, knowledge and skills the organisation could apply to a given situation that may arise.

²⁷ Appendix XIII

7.4.2. Realisation of Strategic Purpose Through Change

In undertaking its own organisational review the management team determined that a more strategic approach was needed for the management and development of the Carnival. The organisation drafted and successfully implemented two Five Year Carnival Development and Business Plans in which the policies and strategies for the achievement of the organisational goals of credibility and stability, were outlined. Establishing an organisation within an appropriate legal framework helped to meet the requirements of transparency and accountability.

The Board of Directors was trained to provide effective leadership and was expected to act democratically, competently, with transparency, integrity, respect, loyalty and dedication, and be willing to be accountable to the people of Carnival and the other stakeholders. Professionalism was an organisational imperative. It was promoted to boost the capacity of the organisation to cope with the demands of Carnival and improve its ability to be responsive and effective. It was demonstrated in the way in which the organisation observed formalities and met the requirements of the law; achieved improvement in the organisational environment; developed a strong and efficient administrative function, systems and processes; demonstrated effective planning and co-ordination of the different parts of the organisation; achieved effective and efficient organisational performance; and monitored the activities of the organisation for performance management.

Effective working relations with all the stakeholders for a better and safer Carnival were pursued through balancing and harmonising relationships in a multi-agency team. The protection of the health, safety and welfare of visitors and participants was recognised as a culture of shared responsibility, and the NCT developed and recommended the formalisation of a Multi-agency Facilitation Structure to pursue the achievement of this goal (see Figure 19). The structure was designed to acknowledge the importance of each agency; and to ensure that individual contributions were maximised and a unified approach was adopted.

**Notting Hill Carnival
Multi-Agency Facilitation Structure
Balancing and Harmonising Relationships in a Multi-Agency Team**

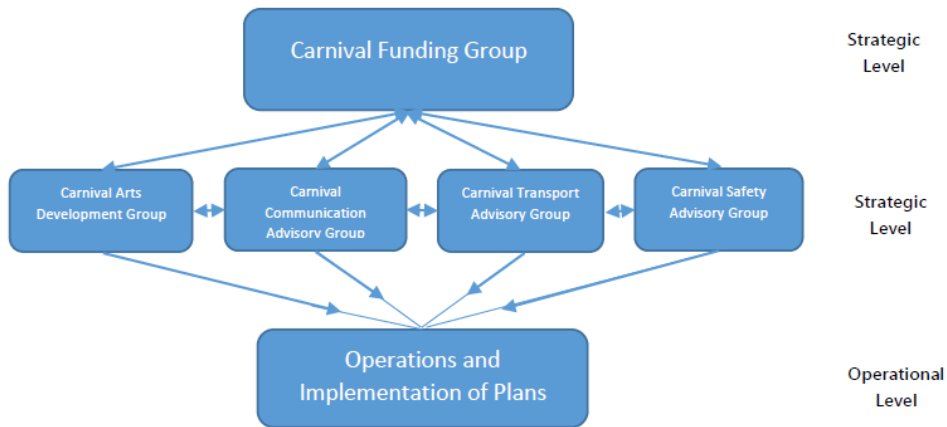


Figure 19: Multi-Agency Facilitation Structure, Notting Hill Carnival Trust 2001
Source: NCT, Submission to Greater London Authority, 04th July 2001

7.4.3. Improved Stability, Reputation and Perception

Improvement in the financial controls and systems for accountability led to improvement in funds flowing into the organisation from a variety of sources, and enhanced its ability to meet its financial responsibilities. In 1989, the total income of the organisation was £174,700. In the year 2000, it was £620,000. Improvement in the income of the NCT happened because of the success of its marketing and sponsorship strategies. It was also strongly indicative of greater confidence in the organisation by the private sector. Sponsorship and other income increased from £60,000 to £450,000

As the organisation became financially stable, it successfully implemented and adhered to its reserves creation policy. By 30th September 2000, the Carnival had accumulated financial reserves in excess of £200,000. The success of the marketing strategy led to the Carnival being positioned in the cultural mainstream, and its acceptance as British culture, adding to the vibrant image of the event's destination. Enhancement in Carnival's global image and appeal was evidenced by an increase in attendees. A demographic survey of Carnival attendees in 1999 demonstrated that demographically, the estimated 2,000,000 spectator-participants in attendance at the last Carnival of the millennium, were made up as follows (see Figure 20):

<p>Live Audience: Foreign visitors/tourists 20%, General London visitors 60% Visitors from elsewhere in the UK 20%</p>	<p>Through the Media It was estimated that Carnival had an overall audience reach in excess of 20 million, largely due to the extensive media exposure the event was receiving</p>
<p>Age: Under 16 - 24% 16-30 - 33% 30-50 - 34% Over 50 - 9%</p>	<p>Gender: Total attendance - 49% female, 51% male Costumes - 71% female, 29% male Sound systems - 49% female, 51% male</p>
<p>Image: For the young Exciting Trendy B, C1/C2</p>	
<p>Approx. spend per head = £20.00 per day</p>	

Figure 20 : Notting Hill Carnival Demographics 1999
Source: Harwood and Co, Carnival Marketing Plan, 2000

In the year 2000, the achievements and success of the re-vamping of the Notting Hill Carnival, its stability, credibility and continuity were validated and given a boost when the Chief Executive was invited to lend her expertise and knowledge of event planning to the planning committee for Queen Elizabeth II's Golden Jubilee celebrations. This created an opportunity for performances by 2000 masqueraders and a 150-piece strong steel orchestra on the Mall and at

Buckingham Palace, with a global audience of 2 billion people (The Queen's Golden Jubilee Trust, 2002).





Designer: Clary Salandy of the Mahogany Carnival Club.
Theme: Unity

7.5. Concluding Comments

The chapter has provided an insight into the key factors that underpinned the success of the Notting Hill Carnival Trust. The key organisational developments and their impacts are defined and outlined. The changes allow the development of a shared sense of purpose among the multi-stakeholders found in the carnival environment. The viewpoint was that the objective of the organisation was to improve the economic benefits and welfare of its members. The achievement was driven by the participative management approach and the focus on the long-term view instead of short-term gains. The term management culture is used to describe the attitudes, values and beliefs of the carnival members about the activities of the NCT in the development of inter-personal relationships. The most prominent attributions of stability and credibility were the result of the interactive process between the management, the stakeholders and the situation of the organisation. For example, the Carnival Arts Development Initiative was aimed at the continued development and improvement of the financial health of the artistic disciplines of the Carnival. An essential outcome of this policy was the motivating effect which focused the carnival disciplines on the vision of the organisation, and thus reduced the level of organisational conflicts and disagreements.

The chapter has also demonstrated the importance and influence of culture on the carnival management organisation. But, the most important element in the culture of the new management organisation was the set of beliefs about the distinctive competence of the organisation that differentiated it from the previous carnival management organisation. The management competence enhanced

group cohesiveness, co-operation among stakeholders, member motivation and resolution of conflicts among the carnival disciplines. In this respect, the culture of the carnival management organisation was very strong, and was instrumental to the success of the organisation.

8. REQUIREMENT FOR ORGANISATIONAL EFFECTIVENESS

8.1. Introduction

The last chapter has been concerned with the description of the management approaches and systems used in the revitalisation of the carnival management organisation. The purpose of the application of these management approaches was the attainment of organisational effectiveness. This chapter reviews the reasons or the necessity for organisational change at the Notting Hill Carnival. The emphasis will be on an explanation of the nature of the organisational conflicts in the carnival environment. It also defines the essential properties of the organisation that contributed to the stabilisation of the management organisation. It further seeks to show how conceptions of the importance of organisational effectiveness are applied in the context of the state of the carnival's management organisation.

The chapter turns on the difficulties encountered in understanding organisational effectiveness, and how the Notting Hill Carnival Trust (NCT) tended to develop its own concept of organisational effectiveness which is consonant with and helps to reinforce the peculiar nature of the carnival management organisation. It also touches on some of the points of view of organisational discomfort and ineffectiveness.

8.2. Carnival Organisational Review

8.2.1. Necessity for Organisational Change

From the 1988 review of the carnival management organisation by Coopers and Lybrand, it was pointed out that the CAC had tended to organise the Carnival in a laid back and amateurish way with few of the systems and controls necessary to properly spend £300,000 annually (most of it public money) and manage the largest public event in Europe (equivalent in sheer numbers to 10 Wembley Cup Finals). The report further stated that “few of those involved seem aware of the magnitude of the planning, management, financial, logistics, safety and security tasks now involved. Carnival is now big business” (Coopers & Lybrand, 1988, p.2). Thus, in 1989, a new carnival management organisation was tasked with the mandate to correct and rectify these failings of the CAC.

As depicted above in the case study, the Notting Hill Carnival is an arts festival characterised by music, dance and drama. It is movement, rhythm and colour. But, in order to make the Carnival an arts festival, there was a requirement to fashion and create a comfortable and harmonious environment for the presentation of its various art forms. The carnival management organisation, among other things, aimed to meet these basic carnival management standards. Naturally, the Notting Hill Carnival Trust primed itself to make the necessary changes in the management organisation to provide the framework to achieve the goal of a harmonious, comfortable and disciplined environment to meet the demands of the increased growth in the popularity of the Carnival. The NCT recognised the need for change and defined that “change” in terms of change in the organisational structure, culture and development of the management of the

Carnival. In this respect, the NCT was concerned with strategies and methods of bringing about change in the behaviour of the management organisation for “to change an organisation means changing the pattern of recurring behaviour” (Kahn, 1974, p.496).

As outlined by the case study, a significant or major aspect of change in the management organisation of the Notting Hill Carnival had to do with behaviour, particularly regular, recurring patterns of behaviour. The word “culture” has been used to describe the organisational behaviour patterns which the NCT sought to change (Hofstede, 2001; Islam & Zyphur, 2009; Schein, 1992). The view was that to change a culture there was a requirement for interventions that would invalidate the old practices and processes of the CAC, and create conditions that would facilitate the creation of new and valid processes.

Lewin (1952, pp.459-473) has described this culture as “customs” or “social habits”. He emphasised that such habits are held together in a field of forces within the social system, and that some forces encourage change and others resist change. The NCT aimed at balancing these forces in order to maintain a “quasi-stationary equilibrium”. Hence the focus on the management of the social system in which the management organisation of the Carnival and its environment were seen and defined as a “collection of people”. This concerns the examination of the concept of stakeholder management, so that the forces for change could include new forces to improve the organisation and to effectively deal with the restraining forces.

8.2.2. Managing Organisational Conflicts

By 1989, it had become obvious that organisational change was a necessity for the survival of the Carnival. The NCT understood the call for organisational effectiveness through the effective management of the intolerable conflicts within the Carnival environment.

Rahim (2002) defines organisational conflict as an interactive process manifested in incompatibility, disagreement or dissonance within or between social entities; and that the management of organisational conflict involves the diagnosis of and intervention in conflict. In the Carnival environment, conflict arose from the exercise of power and politics and from misconceived ideas of “ownership” of the Carnival. Typically, conflicts in the carnival environment were based upon differences in interests, expectations and values. They occurred when the interests of one discipline or party came up against the different interests of another. Parties, also referred to as stakeholders, in the carnival environment numbered over twenty-three identifiable groups.

According to the academic literature, there have been serious debates about whether or not conflict within organisations is harmful or harmless. Tjosvold (2008) has maintained that conflict is an inevitable aspect of all organisations; and that conflict can be highly constructive, indeed, essential to teamwork and organisational effectiveness. This view is predicated on the need for organisations to have diversity of views in teams. The very rationale for an organisation is to combine the energy, ideas, and knowledge of diverse people. Combining this diversity requires ongoing conflict management. To work in an

organisation is to be in conflict. To take advantage of joint work requires conflict management. Thus, conflict could be said to be essential to successful team work and organisational effectiveness and should be welcomed and managed appropriately, as the NCT's experience demonstrated.

Other academics have stated the contrary. Notably, de Dreu (2008) suggested that conflict is always detrimental and that the research that supported the beneficial aspects of workplace conflict was weak; and the conclusion that conflict and conflict management have positive functions can be criticised on methodological grounds. But, in line with the NCT's experience from 1989 to 2002, he maintained that organisations had to make efforts to manage conflict not because it had positive effects, but in order to minimise its negative consequences. Organisations need cooperative conflict management not because it brings positive conflict, but because it prevents workplace conflict from hurting too much.

One of the difficulties encountered by the NCT in developing the organisational effectiveness of the Carnival was that as a result of the internal imbalances, conflicts and rivalries that existed before 1989, each carnival group tended to have a view of its own concept of organisational effectiveness, which they each believed to be essentially correct. Thus, as experience was the major criterion, each side continued to be, in their own eyes, correct. These experiences or views were the set of shared but invisible assumptions about the best way to do things in the carnival organisation, but they did not relate to the nature of reality of the organisation's relationship to its total environment.

Schein (2004) considered these basic underlying assumptions as the base level of organisational culture. They are the deeply-embedded, unconscious, taken for granted assumptions that are shared with others. Any challenge of these assumptions will result in anxiety and defensiveness. Notter and Grant (2011) suggested that they are the most difficult to comprehend. Because they are invisible, preconscious, and “taken-for-granted”, they are difficult to pin down. The new management team of the NCT felt that much more was necessary if the long-range survival and development of the Carnival were to be enhanced. Therefore, for the restoration of the effectiveness of the carnival management organisation, and to avoid organisational decay, the NCT developed all types of communication programmes, encouraging the individual carnival members and groups to take a longer and larger view of things in the management of Carnival. These communication programs included the organisation of seminars to which they were invited; a carnival newsletter dealing with a range of issues that affected them; and Carnival public meetings at which they publicly aired their views.

8.2.3. Essential Properties of Organisation

To develop our concept of carnival organisation effectiveness, we must begin the development of the conceptual scheme with the definition of organisation. This definition is intended to serve as a base point from which to extend our framework in the different directions of the carnival environment. In the academic

literature, we find that the following kinds of definitions seem to be repeated continually, and their undiminished “modernity” and “validity” hold firm:

- (i) An organisation is characterised by an arrangement of parts that form a unity or whole which feeds back to help maintain the parts (Wiener, 1950).
- (ii) A “part” of an organisation is actually an “organic” part in that it exists by virtue of its position in the pattern that is the whole (Kluckhohn, 1955).
- (iii) The whole, in turn, may be differentiated from the parts along two dimensions. First, the whole has a different boundary than any given (or subset of parts). Second, the functional unity of the whole displays properties only revealed in the actual process of full operation of the whole (Herbst, 1962; Katz & Kahn, 1978).

Implicit in the above definitions of organisation were three kinds of activities experienced by the Notting Hill Carnival:

- (i) achieving objectives;
- (ii) maintaining the internal system; and
- (iii) adapting to the external environment.

NCT understood these activities as the core activities of the carnival management organisation for the attainment of a “steady state”. This “steady state” is conceptualised in terms of the inter-relationship among the parts of the carnival management organisation. On the empirical level, the inter-relationships were social interaction that over time, developed reciprocal relationships. This led to a self-maintaining, patterned state of affairs in which each part or social inter-action played a function. This function varied in degree of importance from peripheral to central when the carnival organisation was in a “steady state”. The experience of the NCT was that if any part of the carnival management organisation, no matter how peripheral stopped functioning, it has the capacity to

eventually upset the entire system of management. A case in point was when Unity Association, a community-based organisation with firm roots in the carnival community and from whom the NCT rented office space, arbitrarily prevented the NCT from using the office space in 1991. The NCT was thrown into turmoil without a dedicated office space to function from, for a period of three months.

Thus, for organisational effectiveness, the notion that the whole is maintained through the interaction of all the parts, and not primarily by the interaction of one or a few master or dominant parts, is implicit in the system. Our notions of dominant parts tend to reflect the behaviour of the management organisation of the CAC and the superior attitudes of some of the statutory agencies involved with the carnival process. As a consequence, the NCT tended to emphasise the essentiality of parts and less about the dominance of parts. Under this conception, no one part was considered to be in complete control of the carnival management organisation to the exclusion of others or over other parts. Frank (1951, pp.53-54) summarised the position regarding the philosophy of the Notting Hill Carnival Trust from 1989 – 2002:

When we look more intently at man's internal environment we find a number of organ systems, each performing its specialised functions in the internal environment which is highly organised and inter-related. This internal organisation, like the organisation we are discovering in the rest of nature, is not a relation of dominance and submission, of a governing or dictator organ exercising control over all others, as we have long been accustomed to think. The kind of organisation we find is a patterned activity in which all the specialised organ systems and functional processes constitute the organisation and maintain the organised whole by the way each articulates, synchronises, compensates and otherwise operates in relation to all others.

8.3. The Concept of Organisational Effectiveness

8.3.1. Core Activities of Organisation

On the concept of organisational effectiveness, it is generally suggested that an organisation increases in effectiveness as it obtains:

- (i) increasing outputs with constant or decreasing inputs; or
- (ii) constant outputs with decreasing inputs; and
- (iii) is able to accomplish this in such a way that it can continue to do so.

As mentioned above, an organisation also manifests three core activities, namely: achieving its objectives; maintaining itself internally; and adapting to its external environment. In relation to the definition given above, it may be suggested that as an organisation's effectiveness increases, it will be capable of accomplishing its three core activities at a constant or increasing level of effectiveness with the same or decreasing increments of inputs of energy. But the criterion for total organisational effectiveness of the NCT was an integration of the three effectiveness scores, namely, the degree of energy needed to carry out the three core activities to ensure a degree of organisational stability, which was the criterion for its total organisational effectiveness. The reason for this measure was that all organisations are assumed to be embedded in an environment that is continually changing and thus, continually influencing the organisation. The NCT was not a commercial entity whose organisational effectiveness could be determined by the first definition above of organisational effectiveness. Therefore, the major task of the NCT was to adapt to its

environment by changing its own internal arrangement and objectives, and by striving to change the environment. Exactly where the carnival management organisation ended and the environment began was a difficult question, as highlighted by the case study.

This meant the effectiveness of the NCT could be increased by an increase in any one or a combination of the three core activities outlined above. These core activities in turn, were categorised in a somewhat less abstract manner. In relation to the core activity of “achieving the objective”, NCT sought to coordinate all the behaviour of the organisation that led to the direct accomplishment of its objectives. For example, the organisation ensured that all the carnival disciplines were integrated with prescribed roles; that residents’ and spectators’ concerns were efficiently dealt with; and secured management skills which reflected expertise required for the management of the Carnival. This was close to what Bakke (1950) described originally as functional specifications in his “Bonds of Organisation”. In the activity of maintaining the internal system, NCT dealt with all the formal and informal activities of management authority and controls such as budgets, incentive systems, discipline, communication, recruitment, training etc. Likert (1961, p.68) has described these as “intervening variables”. In the activities that help an organisation to adapt to its environment, the NCT dealt with issues of resident and spectator satisfaction, carnival community relations, public relations, local authority and government relations, and some aspects of carnival sponsorship relations and operations.

The NCT achieved organisational effectiveness by manifesting its three core activities of: achieving its objectives, maintaining itself internally, and adapting to its external environment. This was the direction in which NCT had to travel because it was not a commercial entity in the true sense of the word. Our formulation of organisational effectiveness was therefore much broader than some, in that it emphasised all three core activities. It focused on the human as well as non-human dimensions. NCT focused on the management of the aspirations, expectations and interests of the varied stakeholders in the crowded carnival environment and the general public. This focus on sociological forces for the attainment of organisational effectiveness was supported by Caplow (1954). Thus, the NCT's view of organisational effectiveness was based on a "system model" as differentiated from the traditional more popular model of focusing on the achievement of the organisation's goals as measured by profits and shareholders' value.

Etzioni (1960, p.261) has stated that the system model, unlike the goal model, deals with multi-functional units. It is assumed that a social unit that devotes all its efforts to fulfil one functional requirement will undermine the fulfilment of this very functional requirement because the social integration of the unit will be neglected. We can argue that our system model was an effective model as a "pattern of inter-relationships and the elements of the system which would make it most effective on the service of a given goal". Georgopoulos, Mahoney and Jones (1957) took a similar point of view. They defined effectiveness in terms of the goal as well as the path to reach the goal. Georgopoulos and Tannenbaum (1957) also defined effectiveness in terms of (a) productivity, (b) intra-

organisational strain as indicated by the incidence of tension and conflict among organisational subgroups, and (c) organisational flexibility, defined as the ability to adjust to external or internal change. Selznick (1948) suggested a multi-dimensional approach which mirrors the approach adopted by the NCT in its management of organisational effectiveness. This approach included the internal system as well as its relationships to the environment. He cited five dimensions which are:

- (i) The security of the organisation as a whole in relation to social forces in its environment.
- (ii) The stability of the lines of authority and communication.
- (iii) The stability of informal relations within the organisation.
- (iv) The continuity of policy and of the sources of its determination.
- (v) A homogeneity of outlook with respect to the meaning and role of the organisation.

8.3.2. Organisations Exist for People

Another approach to assessing the effectiveness of an organisation is based on the notion that organisations exist, ultimately, for human benefit. Consequently, organisational goals are important only in so far as their pursuit results in benefits to the participants. This approach, based on the satisfaction of participants, has been put forward in various forms by several theorists (Barnard, 1938; Bass, 1952; Cyert & March, 1963). In this approach, the benefit that goal attainment brings to participants is taken as the standard against which to judge an organisation's worth. The same criteria were applied to the organisational

design of the NCT. Thus, the first step in the organisational design was to decide the key challenges facing the carnival management organisation. The focus of the strategy was “people” because of the size and intensity of the involvement of people in the Carnival and in its environment. The view was that strategies only happen because people do what is required. If the NCT wanted to achieve its objectives it needed to employ and involve people in a systematic and controlled manner.

The main goal of the NCT was credibility through stability and this in the main was determined by the behaviour of the members of the carnival community and the public at large. Many commentators have argued that the internal structures and processes of an organisation should reflect or fit with the external environment. But one major factor that affected the NCT was environmental uncertainty. The management organisation of the Carnival sought a clear view of the way ahead, the nature of the carnival environment, obstacles and its final destination. The question was: How should the NCT be adaptable enough to cope with the continuous and unpredictable human behaviour patterns that it faced? Therefore, an understanding of the dynamics of the external environment was central to the management approaches and practices of the NCT.

Duncan (1972, p.313; 1974; 1979) defined uncertainty as the lack of adequate information to reach an unambiguous decision, and argued that environmental uncertainty has two dimensions, the simple-complex dimension and the static-dynamic dimension. The simplicity-complexity dimension is said to refer to issues such as the number of different issues faced, the number of different

factors to consider and the number of things to worry about. The stability-dynamism dimension refers to the extent to which these issues are changing or stable, the degree of stability or dynamism, and if they are subject to slow movement or to abrupt shifts.

The external factors that impacted on the NCT included: the behaviour and attitudes of the artistic disciplines of Carnival, local authorities, carnival funders, major statutory authorities, transport facilities providers, carnival franchisees, police and other emergency services, residents' organisations, individual residents, corporate sponsors and single event sponsors, carnival auditors, solicitors and bankers, the carnival community, the press and media, carnival spectators, the carnival management, stewards and route managers. Because of the spread and depth of the factors constituting the carnival environment, the NCT viewed the "stability – dynamism" dimension to be more important in determining the environmental uncertainty that it dealt with. In this regard, environmental complexity meant that the NCT had a lot of environmental factors to consider, while environmental dynamism was more difficult to manage because of the unpredictability and pace of change in the carnival environment. Hence, the organisation of the NCT was structured to be able to adapt quickly to new pressures and opportunities that occurred.

The key concern for the behaviour of the carnival management organisation was the search for "fit" between its internal properties and the intensely active external environment. But it has been suggested that external environments do not determine internal structures and processes of organisation because of the

incidence of selective perception. In other words, we pay attention to some factors, while filtering out others. Thus, the same environment may be perceived differently by different managers and organisations, even in the same sector. It is management perceptions which affect decisions about organisational strategy, structures and processes. According to Weick (1979) managers enact rather than react to the external environment. One perspective is that the environment is out there waiting to be observed and analysed. The other perspective is that the environment is what we perceive and interpret it to be, and which therefore is enacted. This distinction between “the truth is out there” and “the truth is what we interpret it to be”, takes us back to the conflict ridden organisational behaviour of the NCT in which individual trustees struggled to establish the superiority of their points of view.

This problem was solved by another definition by the NCT of organisations as social arrangements. In other words, an organisation is a social arrangement for achieving controlled performance in pursuit of collective goals. Organisations are groups of people who interact with each other as a consequence of their membership. This definition explains the success of the NCT because its foundation was based on common membership, which meant implied shared objectives that were collectively approved. The notion was that organisations do not behave, only people can be said to behave. Organisational behaviour has been described as shorthand for the activities and interactions of people in organisations. The term organisational behaviour was first used by Roethlisberger in the late 1950s, because it suggested a wider scope than human relations (Wood, 1998). Others like Pugh (1971) defined organisational

behaviour as the study of the structure, functioning and performance of organisations, and the behaviour of groups and individuals within them.

8.3.3. Management Capacity and Capability

The perspective of the NCT was that organisations use people to serve people, and the quality of that service, among other things, depends primarily on the quality and professionalism of the people charged with the delivery of that service. The view was shared by the management consultants, Coopers and Lybrand (1988, p.3) who in the Carnival Organisational Review stated that the Carnival's management was "to consciously seek persons who have a professional skill, experience and expertise for specific aspects of the planning". The tasks of planning, organising and co-ordinating the activities and efforts of large numbers of people is a general feature of the Notting Hill Carnival. But the individual and the social consequences of its performance will depend on how the carnival management organisation is structured or designed to run. For example, changing circumstances may not be responded to imaginatively if the structure lacks people performing, forecasting and planning roles. The degree of unpredictable turbulence and change in the internal and external environment of the NCT, had meant the employment of and reliance on highly qualified and experienced professional staff.

Ansoff (1957) has developed this argument when he distinguishes between extrapolative and discontinuous change, shown by the separation in his table of typology of environments, between levels 3 and 4 (see Figure 21). The indication

is that where change is extrapolative, the future can be predicted, more or less, following (extrapolating from) current trends. But when change is discontinuous, our ability to predict is limited. It is claimed by Ansoff that 80% of managers say that their organisations have level 4 and 5 environments. Further, Ansoff makes several observations about managers who have been successful in organisations with extrapolative environment. It is also claimed that they may lack the skills, knowledge, experience and attitudes to deal with discontinuous change. Success in a discontinuous environment requires entrepreneurial vision and creativity, anticipating change. He suggested that managers' incapable of developing an entrepreneurial mind-set must be replaced.

Ansoff's Typology of Environments

Ansoff's Typology of environments			
Level	Environmental change	Organization strategy	Management attitude
1	Repetitive Little or no change	Stable Based on precedent	Stability-seeking Rejects change
2	Expanding Slow incremental change	Reactive Incremental change based on experience	Efficiency driven Adapts to change
3	Changing Fast incremental change	Anticipatory Incremental change based on extrapolation	Market-driven Seeks familiar change
4	Discontinuous Discontinuous but predictable change	Entrepreneurial Discontinuous new strategies based on observed opportunities	Environment-driven Seeks new but related change
5	Surprising Discontinuous and unpredictable change	Creative Discontinuous new and creative strategies	Environment-creating Seeks novel change

Figure 21: Ansoff's Typology of Environments
Source: Huczynski and Buchanan (2013, p.44)

One of the major problems of the NCT concerned environmental determinism.

Duncan's argument about the role of perceptions was a powerful challenge to

this perspective. In this regard, “environmental determinism” is defined by the argument that internal organisational responses are primarily determined by external environmental factors. Thus, the inter-organisational arrangements of the NCT reflected the influence of a range of factors. These factors were the dynamics of the professional management team, their approach to decision making, carnivalists’ suggestions, past experience, and how the environment was understood and interpreted. This meant that the environmental “stimulus” was just one stimulus among many, and that the stimulus was not always guaranteed either a response, or the expected response. The NCT was involved in a constant process of exchange with the environment. The methods used to analyse the environment were known as “environmental scanning techniques”. These involved collecting information from a range of sources: government statistics, local authority sources, newspapers, internet sites, specialist research and consulting agencies, carnival demographic analysis and focus groups. This approach was necessary because there were three major trends affecting the NCT which were risks, opportunities and constraints.

Merchant (1998) identifies three types of uncontrollable factors. They are economic and competitive factors, acts of nature and interdependence. Applying the controllability principle at the Notting Hill Carnival was difficult in practice, because many areas of activities did not fit neatly into either controllable or uncontrollable categories. For example, regarding the matter of carnival crowd control, statistics identified a number of factors that contributed to excess crowd flows on a few routes. Broadly, these were factors relating to the location of tube stations and the layout of the street grid. This problem was outside the control of

the management organisation of the Carnival. However, even though this specific aspect of crowd control had been categorised as uncontrollable, the management of the NCT was still motivated to try and influence the situation at Public Safety Group Meetings which were held on the premises of the Notting Hill Carnival. A further problem was that when a factor was clearly uncontrollable, it was difficult to measure in order to highlight its impact on the planned and reported carnival outcomes.

8.3.4. Organisational Discomfort and Ineffectiveness

In order for the criterion for organisational effectiveness to become operational, the NCT clearly defined the three activities and spelt out the mechanisms by which they were related in its Carnival Development and Business Plans. As mentioned before, the management philosophy of the NCT was informed by its understanding of organisational behaviour which in turn informed its policies and decisions. In this regard, organisational behaviour was understood to be the study of the structure and management of organisations, their environments, and the actions and interactions of their individual members and groups. In other words, organisational behaviour is one of the main sets of forces that affect the individual, that influence society and culture, and which can shape the world around. According to Heath and Silkin (2001) organisational behaviour covers environmental (macro) issues and group and individual (micro) factors.

The Coopers and Lybrand report on the Carnival's organisational review recommended specific accounting system changes that would underpin the

Carnival's organisational effectiveness. The accounting procedures designed and implemented by the NCT, were based on the assumption that they were non-human variables in the measurement of its organisational effectiveness. The accounting procedures and measurement were considered to be only part of the problem in the matters of organisational effectiveness. Likert (1958) cites an example in a case in which pressure on a well-established organisation did increase the productivity. These increases were admirably recorded and captured by the financial systems. However, these same financial records failed to record and capture the additional fact that the increase in productivity was achieved by liquidating part of the investment that the company had in the human organisation. Therefore, if the existing financial procedures do not take into account the human dimensions, they do not help the executive to be sensitive to, and become aware of the "human costs".

Thus, the NCT developed its accounting systems that were able to evaluate its goal achieving abilities, the costs of maintaining the internal system, as well as the costs of adapting to its external environment. The accounting system or the performance measurement system of the NCT also included ways to measure carnival spectator satisfaction, lack of openness, inter-carnival discipline rivalries and hostilities, public responsibility, mutual mistrust and residents' concerns. These and many other activities which could seriously affect the costs of achieving the three core activities of the NCT were given full attention. The aim was to modify any undesirable behaviour pattern which was undermining the stability and beauty of the carnival process.

According to Quinn and Cameron (1983) organisations move along a life cycle similar to biological organisms with a birth stage, a growth stage, a maturity stage, and a decline or revitalisation stage. By examining these stages of its life cycle, the NCT was able to identify changing attitudes and expectations, constraints and choices that had to be made. In the initial stage of the NCT, the primary management responsibility was to communicate its vision to potential internal and external stakeholders who provided the necessary support and resources to establish the organisation. As the NCT developed and grew in strength, the key management responsibilities were concerned with keeping the organisation stable on account of internal and external pressures. It was recognised that eventually the NCT would encounter severe environmental threats and challenges because of the rapid increase in the popularity of the Carnival, and the very large increase in spectators and artistic performers. In this crisis phase, the primary responsibility of the carnival management organisation was to determine how to adapt and survive. Thus in 1996, new strategies were identified in a second Carnival Development and Business Plan. The success of this effort would determine whether the organisation declines or is revitalised (Baliga & Hunt, 1988; Hunt, Baliga & Peterson, 1988).

In the revitalisation plan of the NCT mentioned above, procedures were developed to deal with a number of perceived organisational discomforts and ineffectiveness. By the standards and values of the NCT, organisational ineffectiveness implied a disorder which, despite the responses and effort to stabilise the situation, leads to further disorder. Argyris (1953) has emphasised that not all disorder is necessarily related to ineffectiveness. Some stress may

enhance effectiveness. It is the disorder or stress that compulsively and repetitively leads to further disorder or stress that implies ineffectiveness. Thus, we refer to the negative impact of the management decisions of the Mayor of London in 2001 not to honour a commitment to provide financial resources necessary to implement the Carnival Stewarding Project for that year. Although the NCT and the Mayor's Office had jointly planned and agreed to the project, the delayed release of the funds seriously undermined the continuity of the organisational effectiveness of the NCT. The behaviour of the Mayor of London was traced to his misconception of the direction and future of the Carnival. This resulted in his opposition using the tactics of delay, by not making resources available (Pressman & Wildavsky, 1980). NCT accepted the situation and used its financial reserves to underpin the project in order to maintain its reputation, credibility and integrity.

8.4. Concluding Comments

This chapter served to demonstrate how the development of a shared sense of purpose and responsibility, provided the framework for the achievement of a harmonious, comfortable and disciplined environment, suitable enough to meet the demands of the increased growth in the popularity of the Notting Hill Carnival. It has also shown how the focus on a shared sense of purpose and responsibility can be developed in the field of management to deal with conflicts. In other words, the various voices in the organisation needs to be widely embraced and nurtured, but its fragmented nature is best tackled by the

institution of the sense of purpose. Thus, the different voices of the organisation are much more likely to come alive and can be managed and sustained.

Although the idea of organisational effectiveness motivated the work of the management staff, this chapter has highlighted the underlying core issues in the attainment of organisational effectiveness. Many different taxonomies have been used to try to make sense of the description of organisational effectiveness. This chapter shows that no taxonomy is ideal for all purposes, but one efficient way to explain or ascertain the relevant elements identified in terms of the organisational effectiveness of the NCT, was the extent to which the attainment was people-oriented or relation-oriented. This part of the chapter looks at a management approach that redistributes power and leadership throughout the organisation

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9. TECHNIQUES FOR ORGANISATIONAL DEVELOPMENT

9.1. Introduction

This chapter develops the framework of the techniques for organisational development in the context of the management organisation of the Notting Hill Carnival. This framework might help to explore the widely different backgrounds and perspectives of the shareholder wealth maximisation approach to management and the multi-stakeholder approach to management. The chapter explores the fact the carnival management organisation must have to interact with the outside world and with its environment. It explains the theory that organisations achieve better results when they are focused more on stakeholders rather than on the technical and process aspects of change. The chapter shows the usefulness and importance of analysing the multiple stakeholders found in the carnival environment. The goal is to understand the stakeholders in the carnival environment and prioritise and mobilise them to accomplish the organisational goals of the Notting Hill Carnival Trust (NCT).

The chapter also touches on the Carnival Mission Statement with respect to what the organisation wants to achieve and how it wants it to be achieved, having regard to its environment. It turns to the challenge of winning the support of the carnival community through the development of a shared sense of purpose. The chapter considers the structural configuration through which the NCT seeks to accomplish its goals. Finally, it explores the control systems required to influence behaviours in desirable ways, in order to achieve organisational goals.

9.2. Stakeholder Strategy Formulation

9.2.1. Impact of Environmental Factors

As noted before, the carnival management organisation, like any other organisation must interact with the outside world, with its environment. This environment is described as a cocktail of issues, trends and events outside the boundaries of the organisation which influence internal decisions and behaviours. To borrow an analogy used by Huczynski and Buchanan (2013, p.41) the operations of any organisation can be described in terms of “import-transformation-export” processes. For example, a motor car manufacturer imports materials, components, equipment, staff and energy. These resources are then transformed into vehicles which are exported to consumers. The car manufacturer, like any other organisation, is involved in a constant series of exchanges with their suppliers, consumers, regulatory agencies and other stakeholders, including the employees of the organisation. A stakeholder is said to be anyone who is concerned with how an organisation operates, and who will be affected by its decisions and actions.

The operations of the carnival management organisation might differ from that of a car plant, but issues concerning attitudes toward its environment and stakeholders were not dissimilar. Also, instead of importing resources for transformation into vehicles, the carnival management organisation imported ideas which were transformed into policies for the management of its operations. The argument of this section is that “the world out there” influences the “world in here”. In other words, external environment factors, trends and developments led to changes in the internal organisational structures, processes and behaviours of

the carnival management organisation which was distinguished by the name, the Notting Hill Carnival Trust.

In our consideration of the definition of organisational effectiveness, it is noted that an organisation increases in effectiveness as it obtains (a) increasing outputs with constant or decreasing inputs, or (b) constant outputs with decreasing inputs, and (c) is able to accomplish this in such a way that it can continue. This definition of organisational effectiveness suggests that the organisation focuses more on the technical and process aspects of the operation. But, at the Notting Hill Carnival, stakeholder engagement was pivotal to the whole process of achieving organisational effectiveness. According to Mayfield (2013) change managers that are more focused on their stakeholders and measured in the time they spend in leaning towards people, achieve better results in the end than those who focus rather more on the technical and process aspects of change. Mayfield further argues that if the engagement in relationships is taken away, then there is nothing left in change management that really gains any true traction other than just the mechanical process of change.

9.2.2. Identification of Stakeholders

As noted, change was a necessity for the survival of the Notting Hill Carnival. The Carnival's organisational review had suggested that the problems of the organisation were due to conflict caused by poor communication and lack of understanding. The organisation development approach adopted by the

management of the NCT, hinged firmly on the effective management of the multiple stakeholders found in the carnival environment. The notion was that inaccurate perceptions could lead to inappropriate decisions and ineffective organisational practices. This view has been confirmed by Mezias and Starbuck (2003) when they found that management perceptions are often wrong. This view was of primary importance because of the transformational nature of the Carnival's management of change. Transformational change is described as "large-scale change involving radical, frame-breaking, and fundamentally new ways of thinking, solving problems and doing business" (Huczynski & Buchanan, 2013, p.624).

The four methods which contributed to the success of the NCT were concerned with clarity of goals; sound organisational structure; ownership and involvement; and visionary leadership. But more importantly, success was also associated with a high level of "carnivalist" engagement and collaboration. This had meant a very high level of communication and involvement of the carnival community at all stages of the transformation process. This participative approach to major organisational change has now become conventional practice, and dates from the work of Coch and French (1948) at the Harwood Manufacturing Corporation in Marion, Virginia.

According to Smith (2015) research suggests that the failure of many change initiatives to deliver what they promise is serious, but not inevitable. There is a strong and growing body of evidence that demonstrates the value of well-established change management practices in improving the success rate. He

further stated that a number of the studies demonstrated that consistent application of an appropriate methodology was a further factor consistently associated with greater success. Therefore, this research is dedicated to sharing the kinds of approaches and practices adopted by the NCT for improvements in the carnival management organisation. From the perspective of effective stakeholder management, the strategies implemented were:

- (i) The identification and segmentation of stakeholders.
- (ii) The collective commitment to a common sense of purpose.
- (iii) The design of the appropriate organisational structure to achieve that purpose.

A meticulous stakeholder analysis was useful and instrumental in planning the required and necessary change at the Notting Hill Carnival. The process of identification and segmentation enabled the management to successfully carry out the following tasks:

- (i) The drawing up of a list of stakeholders affected by the proposed organisational change.
- (ii) The establishment of what each would lose if the change was implemented.
- (iii) The use of the potential benefits to drum up support to strengthen the change for those who felt marginalised.
- (iv) To find ways to address the concerns of those who would lose out by altering the nature of the change, or reducing their losses.

Analysing stakeholders was important for identifying the key stakeholders, and towards assembling and maintaining a goal engagement strategy, particularly when dealing with very powerful and multiple stakeholders. Through

understanding the stakeholders in the carnival environment, prioritising and mobilising them to accomplish the organisational goals, the management gained and sustained the momentum for the change. In the language of Mayfield (2013), for change to be successful change managers need to know who is involved. Further, being able to categorise a frequently large population of stakeholders was crucial for prioritising and identifying appropriate and different influencing strategies. Another important factor was that different stakeholders had to be managed differently. Allies and supporters were kept on side, while opponents were converted or marginalised. Education, participation, negotiation and support were the normal tools used by the NCT. But Kotter and Schlesinger (2008) identify six methods for managing resistance. These are:

- (i) Education and communication for overcoming misunderstanding and lack of information.
- (ii) Participation and involvement for overcoming fear of the unknown.
- (iii) Facilitation and support for overcoming anxiety and personal impact.
- (iv) Negotiation and agreement for overcoming powerful stakeholders whose interests are threatened.
- (v) Manipulation and co-option for overcoming powerful stakeholders who are difficult to manage.
- (vi) Explicit and implicit coercion for overcoming deep disagreements and little chance of consensus.

9.3. Managing an Envisioned Future

9.3.1. The Carnival Mission Statement

Over a period of twenty years, the Notting Hill Carnival evolved from being a small, local, African-Caribbean event to a multi-cultural mega event. As the Carnival continued to grow, so was the influence of the environment in which the increased participation was taking place. The increasing size of the Carnival also attracted the attention of both local and central government on account of public safety. It was an accepted fact that the public had a right to some influence over the management of an event that increasingly touched aspects of their lives and environment. The assumption was that the Carnival had changed over the years and would continue to do so, possibly more rapidly than before. By 1989, the Carnival was the largest street festival in Europe, but it needed structure and direction otherwise it would remain an event that “happens because it happens”, in spite of a management organisation.

It can be said that every combination of individuals or forces in this world has to have a purpose for its action or existence, and this purpose must be external to itself. As the case study demonstrates, the Notting Hill Carnival itself has intrinsic purpose which is the “celebration of freedom”. It also has the indirect purpose of being entertaining, educational and cultural. Up to 1989, it was the carnival management organisation which had lacked purpose because of the way the Carnival started and evolved. It was therefore necessary to understand the role of vision in defining the organisational change anticipated. There must be no confusion between the purpose of the Carnival and the purpose of its management organisation.

Vision has been described by Manasse (1986, p.153) as “the force which moulds meaning for the people of an organisation”; and Kotter (2012, p.71) as a “picture of the future with some implicit or explicit commentary on why people should strive to create that future”. Many other writers have attempted to describe the essential qualities and characteristics of a successful vision (Bennis & Nanus, 1985; Kotter, 1996; Kouzes & Posner, 1995; Nanus, 1992; Tichy & Devanna,1986). In the main, the indicators are that a clear and compelling vision is very useful to guide change in an organisation. Another view is that the vision should appeal to the values, hopes and ideals of the organisation’s members and other stakeholders whose support is needed. It is further pointed out that the term “vision” is used with many different meanings and that there is widespread confusion about it. In addition, it is not clear whether a mission statement, strategic objective, value statement, or slogan constitutes an effective vision. However, as noted by Darbi (2012) even though mission and vision statements have been overwhelmingly accepted as an indispensable part of the strategic management process for organisations of all types, there is often confusion between the terms “vision” and “mission”.

Vision outlines what the organisation wants to be, or how it wants the world in which it operates to be. It provides a strategic direction, which is the springboard for the mission and related goals. A vision statement is meant to evoke powerful and compelling mental images of the desired future state of an organisation. It is supposed to be challenging and ambitious yet workable enough to evoke employees’ ingenuity as far as its realisation is concerned (Darbi, 2012, p.96).

Mission defines the fundamental purpose of an organisation or an enterprise, succinctly describing why it exists, what business it is in and what it does to achieve its vision (Johnson et al., 2008). Mission statements have been reported as a broad overarching framework around which other strategic concerns like vision, strategic intent and capabilities, goals, objectives, core values, behavioural standards, business models etc. evolve (Campbell & Tawadey, 1992; Lynch, 2000).

Within the context of the organisational change at the Notting Hill Carnival, vision and mission were both relevant but the focus for the change initiative was vision. In this regard the vision of the NCT was for a clear definition of the fundamental purpose of the carnival management organisation; what it wanted to be; and how it wanted the environment in which it was operating to be. This was brought together into a statement referred to as “mission statement” which is summarised below:

The principal purposes of the Notting Hill Carnival Enterprise Limited were:

- (i) to ensure the safety and comfort of the carnival spectator;
- (ii) to develop and improve on the carnival arts;
- (iii) to ensure the continued success and popularity of Notting Hill Carnival, and safeguard its financial future;
- (iv) to advise and co-operate with relevant Government departments and Local Authorities and other bodies on any matters concerned with the foregoing objects.

Source: Five Year Carnival Development and Business Plan (1991/92-1995/96)

9.3.2. Promotion of Unity of Purpose

The management was aware of the fact that before the carnival community could support the organisational change required, they needed to have a vision of a better future that was attractive and beneficial enough to justify the sacrifices and hardships the change would entail; that the vision would provide hope for a better future for the Carnival; and the belief that the goals outlined in the plan would be attained. One of the views as expressed by the management literature is that because of the hectic and confusing process of implementing major change, a clear vision helps to guide and co-ordinate the decisions and actions of the large number of people involved with the change process.

The Carnival's vision or what was alternatively called a "Mission Statement" was intended to be meaningful and credible, and not wishful fantasy. It was rather to be seen as a much needed and attainable future which was firmly grounded in a well-established and competently run carnival management organisation. The Carnival's vision was crafted to address the basic assumptions about the organisation and the importance of its ability to relate intelligently to its environment, so that people would treat the organisation with respect. As shown in the Mission Statement, the vision was focused enough to guide and inform decisions and actions required, but general enough to make room or to allow for increased initiative and creativity in the strategies necessary for realising the mission. The simplicity and clarity of the vision were pivotal in ensuring its effective communication.

The vision was also constructed to provide a sense of ownership and a sense of belonging for the carnival community, by linking the potential financial benefits that could be derived from a stable carnival organisation to a vivid image of a better future for well-supported and adequately financed artistic carnival participants. For example, there was a planned approach towards unleashing the wealth creation potential of the Notting Hill Carnival through the attainment of organisational stability and credibility to attract substantial or major corporate sponsors. Because, it was only through the creation of greater wealth that NCT would be able to achieve its goal of supporting and developing the carnival arts and ensuring the safety and comfort of the carnival spectator. This was one of the major benefits of the carnival organisational change. While some benefits were automatic, benefits realisation, such as the much-needed carnival financial support, was dependent on deliberate management action and co-operation of the major stakeholders. Jenner (2015, p.132) says that benefits are the reason that an organisation invests its time, management attention and resources in change initiatives. Benefits are defined as “the measurable improvement from change, which is perceived as positive by one or more stakeholders, and which contributes to organisational (including strategic) objectives”.

There was no reason in theory why the mission, vision and values of the carnival management organisation should not focus on financial performance, if it aimed to create a culture of ownership and sense of belonging, and to attract members who were motivated by wealth and its creation. At the same time the management believed that mission, vision and values should have an uplifting and ethical dimension beside a financially focused consideration. Thus, in the

development of the mission, judgement and analytical ability of the management were employed to synthesise and balance the vision in the light of ethical and unethical approaches. Also, it was very essential to have a detailed understanding of the Carnival and its processes, as well as the nature, structure and expectations of the artistic performers. Additionally, the environment was scanned for a clearer and detailed picture of the history, culture, shared beliefs and assumptions about the general carnival environment and the place and role of the carnival management organisation in it. More importantly, the underlying needs and values of the carnival community and the views of other essential stakeholders were reflected in the vision; and the vision also reflected the contribution of the Board of Trustees, the carnival management staff and some of the statutory stakeholders such as the police, the local authority and the emergency services because of their essentiality to the process.

The vision of the carnival management organisation entailed new and difficult types of activities, but the core competencies of the management were relevant and appropriate for the tasks to be undertaken. Some major stakeholders doubted and queried the ability and capacity of the NCT to successfully carry out the required organisational change. In the absence of a tried and tested strategy, there was a basis for people to believe that the vision of the NCT was unattainable. It was feared that the core competencies of the organisation were not adequate and it lacked the financial resources to underpin the project. But the NCT was not the first organisation to undertake a crucial organisational change from a point of severely constrained resources. When President John Kennedy articulated his visionary objective to land a man on the moon by the

end of the decade, only about 15 per cent of the necessary technology and procedures were said to have been developed. However, the availability of scientists and engineers with the necessary expertise and confidence to tackle these formidable problems, made the vision more credible. Similarly, the vision of the NCT and the activities were credible because of the core competencies of its management staff and the commitment of the Board of Trustees.

Another factor responsible for the success of the vision was that it was continually assessed and refined to meet the challenges of the dynamic and ever changing carnival environment. The concept was that the Carnival's mission was not the same as its strategy which was concerned with its response to its environment. Thus, the strategy changes as the environment changed; but the vision was meant to represent timeless certainty. The NCT could cling to its vision as the world around it altered, but it could be refined or fine-tuned. The management literature says that mission, vision and values alter infrequently. Collins and Porras (1996) contend that they should endure for one hundred years. Campbell and Yeung (1991) say that if a mission is to be meaningful, then the organisation's strategy and the way that its members behave in practice, should be compatible with it.

Jenner (2015) suggests that as well as realising intended benefits, change initiatives can result in dis-benefits. These he defines as the measurable result of a change, perceived as negative by one or more stakeholders, which detracts from one or more strategic or organisational objectives. He also notes that not all positive benefits are planned from the outset. Some are unanticipated and

emerge as the initiative is developed, deployed or implemented. These are termed emergent benefits.

9.3.3. Organisational Design and Structure

Organisational design refers to the management process of choosing and implementing a structural configuration through which the organisation seeks to accomplish its goals. Thus, the organisational design affects what the management and others do, and in a way, how they spend their time. It has been suggested that the design of an organisation's structure is often influenced more by assumptions about internal relationships or implicit theories of management. But the organisational design of the NCT was influenced by actual requirements for effective response and adaptation to its environment. Thus, the model of the NCT conceived of organisations as comprising various interest groups whose power, interests and aspirations were vitally influenced by the performance of the NCT, as well as by customs and practices of the carnival culture.

The NCT operated a decentralised structure or the use of self-managed teams or committees which reflected the belief in individual initiative and shared responsibility. In addition, within the carnival management organisation, the various carnival disciplines and associations operated using different structures, making the organisation design a complex activity to be effective. NCT had to ensure that all these elements complemented and supported each other, and were aligned. Stanford (2007, p.1) defines organisational design as “the outcome

of shaping and aligning all the components of an enterprise towards the achievement of an agreed mission”.

According to the academic literature, organisational structure has been a way of institutionalising and managing stability, but now they have had to become flexible and adaptive to accommodate uncertainty in the form of discontinuous change (Allen, 2015; Mintzberg, 1992). This view actively informed the design of the organisational structure of the NCT. The new management was under pressure to design a structure that balanced the then internal pressures with external demands, to make the carnival management organisation effective, efficient and sustainable. The experience of the carnival management organisation was that an inappropriate structure could impede its effectiveness. Whittington, Mayer and Smith (2002) note that business is too big and too complex to allow an inappropriate organisational structure to interfere with creating shareholder value, and ensuring long-term company survival.

Thus, the design of the NCT’s structure emphasised the need to adapt to environmental conditions, and to maximise control through reporting relationships in a vertical chain of command. It was a stakeholder-based organisational structure in which the organisation was structured around its main stakeholders. There were few layers between the Chief Executive and the rest of the organisation. It was a flat structure which facilitated speedy decision making with fewer layers for approval which enabled faster, clearer and effective communications.

Additionally, the design of the organisational structure was based on our definition of organisational effectiveness in terms of the NCT manifesting three core activities: achieving its objectives; maintaining itself internally; and the key factor of adapting to its external environment. As highlighted in the case study, NCT was able to accomplish its three core activities at a constant and increasing level of effectiveness with controlled inputs of energy as measured in terms of financial resources. Thus, the degree of energy needed to carry out the three core activities and the control of that energy was also factored into the organisational design. In this regard, control was understood to be the process of ensuring that the organisation's activities conform to its plan and that its objectives were achieved. Thus, there could be no control without objectives and plans. It was these that predetermined and specified the expected desirable behaviour and set out procedures that were followed and implemented by the members of the NCT, to achieve its desired ends. These were set out in the "Financial Control and Regulations Manual" published by the organisation. It dealt with the management structure and organisation and the General Responsibilities and Authority of the Management Staff and the Board of Trustees.

9.3.4. Management Control and Controls

Drucker (1964) distinguishes between "controls" and "control". He describes controls as measurement and information, whereas control means direction. Thus, controls are purely a means to an end, the end is control. Control is the function that makes sure that actual work is done to fulfil the original intention,

and controls are used to provide information to assist in determining the control action taken. Since control is applied at different levels within an organisation, the broad aim of NCT's control system was to influence behaviours in desirable ways in order to increase the probability that its objectives would be achieved. Additionally, emphasis was placed on information which related to factors external to the organisation in order to control or influence situations. Merchant (1998) distinguishes between strategic control and management control. Strategic control has an external focus. The emphasis is on how a firm, given its strengths, weaknesses and limitations can compete with other firms in the same industry. Management control systems consist of a collection of control mechanisms that primarily have an internal focus.

Up to this point, this section has focused particularly on two key elements of the organisational design of the NCT: the organisational structure and organisational control systems. Structures are said to give people formally defined roles, responsibilities and line of reporting. Thus, structures can be seen as the skeletons of organisations, providing the basic frameworks on which everything is built. Systems support and control people as they carry out structurally defined roles and responsibilities. Thus, systems can be seen as the muscles of organisation, giving them movement and coherence. According to Johnson et al. (2014) structure, systems and strategy support each other in a circular process of mutual reinforcement. However, sometimes it is difficult to configure the organisation to support strategy. It is also pointed out that sometimes the organisational elements of structure and systems can get out of synchrony with the strategy, fatally undermining it or even redefining its direction. Accordingly,

the organisation of the NCT was conceived as a social arrangement for the achievement of controlled performance in pursuit of the purposes defined by its mission statement.

As a social arrangement, the NCT had to deal and work with people who interacted with each other, as the consequence of their membership of the organisation. This included the Board of Trustees, the management staff, the carnival's artistic performers, the carnival community, the corporate sponsors etc. Their collective goals implied common membership with shared objectives which promoted unity of purpose. The effective performance of the NCT as a whole, determined its and the Carnival's survival. But performance had to be controlled. Thus, controlled performance was about setting standards, measuring performance, comparing actual with standard, and taking corrective action if necessary. The NCT was concerned with controlled performance in the pursuit of its organisational goals.

The following extraction from the Financial Control Systems and Regulations of the NCT reflects on its management structure and organisation (see Figure 22):

- 1.1 The need for professionalism in planning and managing the Notting Hill Carnival cannot be over-emphasised. The implications are considerable, both in the safety of the millions of Carnival spectators and the drive for credibility, acceptability and support for the process.
- 1.2 Management skills which reflect expertise in organising large scale events, financial control, communicating and negotiating at a high level are elements of the level of professionalism required for the effective management of the Notting Hill Carnival.

- 1.3 The organisational structure is designed to achieve the above goals. During the period of this development effort will be made to strengthen and sustain the base of the structure as the need arises.
- 1.4 Further, the organisation and management structure has been designed to ensure that:
- (i) Effective decisions are made and policies formulated;
 - (ii) No one person or group dominates the organisation;
 - (iii) The organisation has stability and continuity;
 - (iv) The membership is aware of what is going on;
 - (v) New ideas can be introduced to meet the challenge of growth and change.

ORGANISATIONAL AND MANAGEMENT STRUCTURE

Notting Hill Carnival 1991

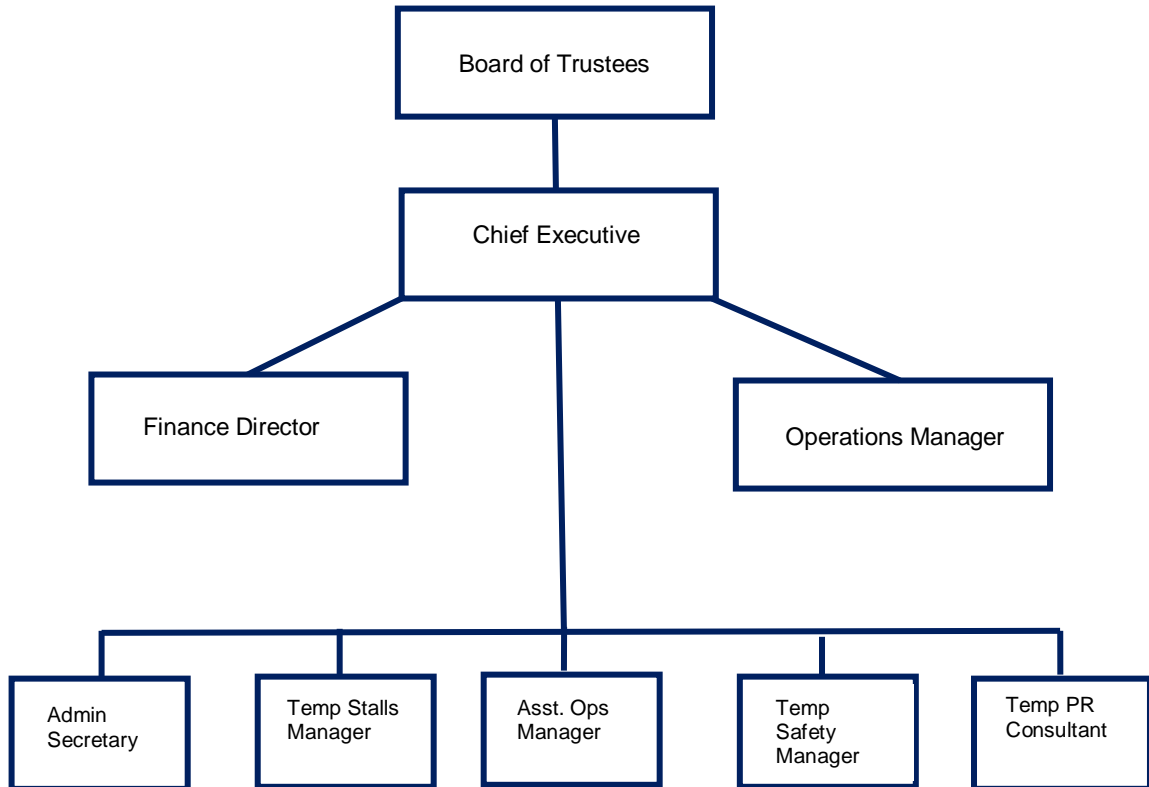


Figure: 22: Organisational and Management Structure, 1991
Source: Five Year Carnival Development and Business Plan 1991 – 1996

9.4. Concluding Comments

The extent to which special management competencies were acquired and used at the Notting Hill Carnival was informed by the complex and dynamic nature of the carnival environment. In view of this complexity, the NCT adopted the multi-stakeholder management approach. Therefore, the NCT worked towards balancing the interests of all the stakeholders in the carnival environment. In the

main, the NCT benefited from the professional capability of the staff to define and accomplish its organisational purposes and objectives. Judgement and analytical ability were needed to develop and synthesise the vision required. It was essential that the staff had a good understanding of the organisation and of the Carnival. It also meant an understanding of the values, hopes and aspirations of the carnival stakeholders. The vision provided a sense of purpose and a sense of continuity with a vivid image of a better future for the carnival community.

The stakeholder management concept and the complexity of the carnival environment also informed the design of the organisational and management structure. It was structured in a way that no one person or group could dominate the organisation. Since the vision was to evolve over time, the NCT focused on the long-term instead of a one-dimensional focus on short-term gains. The process also involved the process of experimentation and learning by the management staff. The organisation structure was designed to be consistent with the carnival change strategy. Therefore, feedback about the effects of the change were collected and analysed in order to evaluate the progress of the change initiative. Accurate and timely information was required about the effect of the change on the key stakeholders and performance of the carnival management organisation. This is because the effectiveness of the performance of the NCT as a whole, determined its survival as well as the future of the Notting Hill Carnival.

10. STRATEGY DEVELOPMENT AND DIRECTION

10.1. Introduction

This chapter focuses on the process of strategy development and strategy implementation by the Notting Hill Carnival Trust (NCT). It shows how the strategic decisions of the NCT are distinguished from other types of decisions because of their magnitude or how they affected the whole carnival organisation, and their time-scale which impacted the organisation over a long period of time. It also emphasises or demonstrates the commitment of the management to implement the decisions in an unwavering manner so that the decisions are not unnecessarily reversed. The goal of these decisions was the attainment of organisational effectiveness and stability, by overcoming the constraints imposed by some of the key and powerful stakeholders in the carnival environment. Therefore, this chapter examines the particular elements of strategic management which were applicable or suitable in dealing with the turbulent conditions in which the NCT had to function.

In this regard, it seeks to define the concept of strategic management and describes the process of establishing strategic priorities that address the concerns of the stakeholders and the public at large. It further outlines the contributions and benefits that resulted from that strategic management process. One notable objective of the strategic management is the pursuit of carnival wealth creation through the enhancement of the reputation of the Carnival, in order to attract considerable corporate sponsorship on a long-term basis. Thus, the key elements of the strategy were concerned with the maintenance of the

safety and comfort of the carnival spectator; the development and improvement of the carnival arts; the insurance of the continued success and popularity of the Carnival; and through a sound, stable and disciplined financial performance which was monitored by a credible and outstanding audit firm.

10.2. Strategic Orientation and Design

10.2.1. Establishing Strategic Priorities

As depicted above in the case study, the Notting Hill Carnival is an arts festival characterised by music, dance and drama. It is movement, rhythm and colour and that needs to be placed in a secure and comfortable environment. By 1988, it was obvious that the carnival management organisation lacked the capacity and the ability to cope with the ever-increasing popularity of the Carnival on account of its size in terms of the numbers attending as spectators, as well as the numbers taking part as artistic performers. Its increasing also attracted the attention of both local and central government on account of public safety concerns. The view shared was that the public had a right to some influence over the stability and security of an event that was increasingly touching aspects of their lives and environment. Examples of these concerns included the impact of the Carnival on the residents of the carnival area, the emergency services, the public transport system, the financial implications for government and local authorities etc. Then in 1989, a new carnival management organisation was tasked with the responsibility of bringing about an appropriate management organisation suitable for the status of the Carnival, and to address the public concerns.

The first task of the new carnival management organisation, the Notting Hill Carnival Enterprise Limited, later known as the Notting Hill Carnival Trust, was to define or determine the purpose of the carnival management organisation. On the determination of the principal purposes of the organisation, as recorded in the first Carnival Development and Business Plan, a strategy was developed which was geared to the stability of the Carnival through the effective management of the carnival process. This had a long-term objective of generating adequate income to finance specific projects for the furtherance of the carnival arts. It also sought to develop and maintain a secure and comfortable carnival environment for the benefits of all concerned. At the heart of this strategy was the effective management of the linkages between the NCT and the various stakeholders, and to emphasise the reason for the existence of the carnival management organisation.

Haberberg and Rieple (2000) stated that a strategy is the set of actions through which an organisation by accident or design, develops resources and uses them to deliver services or products in a way which its users find valuable, while meeting the financial and other objectives and constraints imposed by key stakeholders. Most successful strategies give an organisation some property that is unique, or at least rare, and the means for renewing its competitive advantage as the environment changes. At the Notting Hill Carnival, strategy was about key issues for its management organisation or its long-term direction. What should the NCT do to secure revenues in the face of the uncertainty and of declining public funding? What were the alternative sources of income from the millions of

carnival spectators who had no motivation to contribute towards the cost of their entertainment? What was the purpose of the NCT if it could not generate the necessary revenues from its own direct knowledge and efforts to sustain and support the Carnival?

All these were strategy questions that were vital to the future survival of the Carnival. But these questions mattered more widely because, the generation that started the Notting Hill Carnival needed to ensure that their motivation and cultural strength were transferred to the next generation. The next generation of carnivalists had to understand the strategic direction of the Carnival, with a view to knowing how to secure competent management that would support their initiatives; and how to explain the historical and cultural implications of the Carnival to the people who share its beliefs and values. The purpose of this section is to conceptualise the principles of organisational strategy development; the tools used for that development; and the implications for the definition of the change management at the Notting Hill Carnival.

Cole (2015, p.80) defined strategy as “what an organisation is going to do in the future that responds to the changing environment in which it needs to develop and prosper” and stated that the reason that most organisations need a good strategy is because with a “poor strategy, or in the absence of one, the organisation will not survive. The primary purpose of a strategy, therefore, is to show how an organisation intends to develop, given the environment in which it operates”. Defining strategy as the long-term direction of the NCT implied a more comprehensive view, because most activities undertaken could not be

accomplished in the short-term. It was realised that changes in organisational behaviour were really about what could not be shifted in the short-term. Therefore, the changes involved in this respect were necessarily long-term issues and had to be treated as such.

According to Heath and Sitkin (2001), organisational behaviour covers environmental (macro) issues and group and individual (micro) factors. The point is crystallised by Huczynski and Buchanan (2013) when they defined organisational behaviours as the study of the structure and management of organisations, their environments, and the actions and interactions of their individual members and groups. Therefore, at the Notting Hill Carnival, the emphasis was on the logical flow from the determination of goals and objectives to the allocation of resources. This was in line with the definition of strategy by Chandler (1961, p.13) as “the determination of the long-term goals and objectives of an enterprise and the adoption of courses of action and the allocation of resources necessary for carrying out these goals”.

Performance improvements of the NCT occurred through conflicts which exposed the fundamental weaknesses in the carnival management’s organisational decision-making and design, and which prompted changes. Organisational structures differ in terms of where decisions are made and by whom. They range from centralised through to decentralised. Decision-making is said to be the process of making a choice from among a number of alternatives; and within organisations, decisions are made at all levels, not just at the top. Simon (1957) suggested that management theory should be based around the

question of choice, and that decision-making was the very core of management. This was later concurred with by other academics (Mintzberg, 1989; Mintzberg & Westley, 2001) who considered it one of the most important – if not the most important – of all managerial activities that represents one of the most common and crucial work task of managers.

Given the central role of decision-making and the effect that decision outcomes had on the lives of the multiple carnival stakeholders, the carnival management organisation's decision-making process was designed to ensure that:

- (i) effective decisions are made and policies formulated;
- (ii) no one person or group dominates the organisation;
- (iii) the organisation has stability and continuity;
- (iv) the membership is aware of what is going on;
- (v) new ideas can be introduced to meet the challenges of growth and change.

The making of decisions in the organisational context of the NCT occurred on two levels. The management of the NCT, like any other organisation, had two tasks. The first was to co-ordinate the functions within the organisation for the smooth running and completion of tasks. The second was to adjust to circumstances outside the organisation. The evidence and experience of the NCT was that the management staff had to deal with the fact that rules, procedures and precedents did not always determine what must be done in every particular case. Decisions which were unexpected or un-programmed had

to be made. This required the use of discretion and judgement to deal with decisions to be implemented.

Ambiguity and uncertainty provided the political context within which decision-making occurred in the carnival management organisation. This is consistent with and confirms the point raised by Simon and others about decision-making processes in organisations. Simon (1957) had criticised the rational model of decision-making, saying that it ignored the internal politics of the organisational system. Rational decision making models involve a multi-step **cognitive process** where each step follows in a logical order from the one before. They pre-suppose that there is one best outcome and that it is possible to **consider every option** and also to know the **future consequences** of each one. Simon, however, proposed bounded rationality as an alternative basis for the mathematical modeling of decision-making. In this regard, he coined the term “satisficing” in which decision-making is based on seeking a satisfactory solution rather than an optimal one.

Cyert and March (1963) also expanded on this with the organisational behaviour model, which also suggested politics as a factor to be taken into consideration in decision-making in organisations. They linked the cognitive limits to rationality with political limits, stemming from their view of the business firm as a group of individuals who are engaged in the decision-making process relating to its internal structure having multiple, sometimes conflicting goals which may need to be negotiated. Whereas rational models assume that decision-makers possess a consistent order of preference; that there is agreement among the

stakeholders about the goals of the organisation; and that decision rules are known and accepted by everyone.

Another decision-making problem that the NCT had to deal with, was the distinction between strategic decisions and non-strategic decisions. According to Haberberg and Rieple (2000, p.32) not all decisions made within an organisation contribute equally to its strategy. A strategic decision can be distinguished from other types of decisions in three ways, namely:

Magnitude: strategic decisions are big decisions. They affect an entire organisation or a large part of it, such as a whole division or a major function. And they entail a significant degree of interaction with the world around it – the organisation's suppliers or customers, for example.

Time scale: strategic decisions have their impact over the medium to long-term. They will naturally have a short-term impact as well – the medium term may finish in several years' time, but it starts at the end of this sentence. Different organisations will of course, have different conceptions about what constitutes medium or long-term. In a fast-moving industry, such as computer software or consumer goods, eighteen months may be a long time to think ahead. In capital goods industries like electricity generation or oil production, where new facilities take years to plan and bring on stream, 10 – 15 years may be a realistic time horizon. It is helpful to measure timescales in terms of product life-cycles, with the short-term being one product life-cycle and the medium-term, two. For most industries, this gives a time horizon for the strategist of around 3 – 5 years.

Commitment: strategic decisions involve making choices and committing resources in ways that cannot be reversed cheaply or easily. This may mean investing large amounts of money in buildings or high-profile, long-term, marketing campaigns or large amounts of management time in changing the way an organisation operates.

Following the demise of the Carnival Arts Committee, the Notting Hill Carnival Enterprise Limited was established without assets of any kind. Conditions and circumstances at the time suggested that the new carnival management organisation had to depend, to a very large extent, on meagre public funds and very little from private sector companies. It became apparent that for the Notting Hill Carnival to have a sustainable and assured future, the artistic performers needed to be properly or substantially funded. There was also a need for substantial investment in a secure and comfortable carnival environment for the effective maintenance of the security and safety of the public at the Carnival. There was also a realisation that any dependence on public funding sources for more financial support for these clearly identified carnival ventures, was ill-founded. An attempt was made by the organisation to raise funds from the carnival spectators through organising a “Carnival Car Raffle” and subsequently also through a project called “Pound in the Ground”. Both these fund-raising schemes were supposed to raise sufficient funds to support the carnival arts and to fund the stewarding operations of the Carnival.

Neither project could be said to have succeeded. With the raffle, the NCT simply managed to break-even, and the “Pound in the Ground” generated some £3,000, one third of its set-up costs. Lessons were learnt about the attitude of the carnival crowds towards having to contribute financially to support the event. It became obvious that if public funding was inadequate to sustain the Carnival and the carnival spectators did not have enough motivation to contribute substantially towards its survival, the NCT had to find another way. The question

was: How? The organisation needed a strategy, a plan or blue-print for carrying out the mission and attaining the strategic objectives.

Miller and Cardinal (1994) found support for the proposition that strategic planning by top executives improves an organisation's performance. They also found that strategic planning was more important as the complexity and ambiguity of the environment increased. It has been also noted that strategy formulation will not improve organisation performance unless the strategies are relevant and feasible, and there is commitment to their implementation. The notion is that a relevant strategy should take into account changes in the external environment, and it should be realistic in terms of the organisation's strengths and weaknesses. The strategy should also reflect the core mission and high-priority objectives of the organisation.

According to Beer (1988) organisations were less successful if they were focused on means rather than ends. In other words, a strategy may include changing structure or management processes. But it is important that such changes should be clearly relevant to the strategic objectives. For example, it was not enough for the NCT to change the management structure of the organisation without providing a clear purpose for the change. The long-term objectives of the organisation were based on the stated mission and vision which were geared towards the sustainability and security of the Carnival. By placing emphasis on business planning and marketing, the NCT intended to raise money from other sources because of the inadequacy and the climate of uncertainty that surrounded funding from public sources. Information about these sources

was used to evaluate the strategic plan because the already thin financial resources from the public sector agencies, was to grow even thinner. The reality of the situation was that funds from these funding agencies would remain essential to the survival of the carnival process and public safety management for the foreseeable future, if a new and major funding source was not developed. The public funding agencies had to be prepared to support the management organisation until the process could be turned around, to make it economically and financially viable. At the time of the development of the funding strategy to support the long-term future of the Carnival, the following public sector agencies were funding the NCT:

Arts Council England

Royal Borough of Kensington and Chelsea

London Boroughs Grants Scheme

Commission for Racial Equality

Greater London Arts

10.2.2. Strategy for Change and Improvement

Arguably, it was crucial that the public funding agencies should seek to improve the conditions and the framework within which the Carnival operated, and that this should be done on behalf of the welfare, comfort and safety of the public. Even though the Carnival belonged to the carnival community, it is essentially a public event which provides free entertainment to the public. Thus, the funding policies of the public-sector funding agencies should have been determined by

the objective of providing for the welfare and safety of the public, through their support for an effective carnival management organisation which they trust or in which they had confidence. An understanding of this scenario was central to the formulation and evaluation of the carnival funding strategy of the NCT.

Van der Heijden (1996) made the point that scenario development is another way to describe the likely consequences of making a strategic change. Scenario can be developed to describe what would happen under the most and least favourable conditions, as well as under the most likely conditions. The above funding scenario suggests that if the Notting Hill Carnival was a public event, then public money should be used to provide for the welfare and safety of the public at the Carnival. Despite this clear-cut necessity for public funding, three of the five funding agencies took steps to phase out their already inadequate funding of the Carnival. Hence the necessity for a new strategy to raise funds from the private sector through corporate or business sponsorship, or funding from the carnival spectator. These two approaches required some further scenario planning in which a degree of creative thinking was necessary.

Huczynski and Buchanan (2013) defined scenario planning as the imaginative development of one or more likely pictures of the dimensions and characteristics of the future for an organisation. Dutton and Jackson (1987) also suggested that this would involve building alternative scenarios of the future and identifying key environmental threats or opportunities, as categories of threat and opportunity are relevant and consequential for decision processes. However, because environmental interpretation is an ill-structured, problem-solving activity,

managers were found likely to experience a large amount of uncertainty as they attempt to analyse and interpret the environment (Milliken & Vollarth, 1991). Managers may also differ in their interpretations of the same environmental event. Milliken and Vollarth (1991) also suggest that all individuals are biased in their selection and interpretation of information, and they may discount or distort information about important developments and trends. The interpretation process in organisations is neither simple nor well understood. It is however the essential process through which information is given meaning and actions are chosen (Daft & Weick, 1984).

To attract funding from the corporate world, the management needed environmental information from the external carnival environment as well as the environmental information of the targeted businesses. The NCT had to relate this environmental information to the strategic plans to determine the most appropriate approach. The tool used for economic analysis was PESTLE.

Huczynski and Buchanan (2013, p.15) also described PESTLE analysis as an environmental scanning tool identifying Political, Economic, Social, Technological, Legal and Ecological factors that affect an organisation. Thus, scenario planning combined environmental scanning with creative thinking to identify the most probable future scenarios as a basis for planning and action. In the context of the survival strategy of the NCT, scenario planning was used to explore the possibilities of the type of corporate sponsorship that would enable the Notting Hill Carnival to survive and prosper. It was also a useful framework which exposed the range of external environmental influences on the internal

organisational behaviour of the NCT, and highlighted the relationship between those external factors. Thus, scenario planning was a useful predictive tool used as a guide to creative decision-making by the NCT.

The output from the scenario planning pointed to the fact that the most suitable and appropriate funding source was “title” sponsorship. From the model, the NCT became aware of the fact that many requests for business sponsorship were unsuccessful because they were either poorly presented, inappropriate, irrelevant or badly prepared. Therefore, the NCT had to be managed professionally and effectively within a framework of stability, continuity and unity of purpose. In other words, the sponsorship programme would work better if it was governed by a clear policy and a thorough and coherent management organisation. The following requirements were established or re-defined in relation to the strategic objective:

- (i) What sponsorship might do to help achieve the objectives of the NCT.
- (ii) How sponsorship could strengthen the promotion and development of the carnival arts products.
- (iii) How sponsorship should fit the character of the carnival process.
- (iv) To develop a practical and workable marketing and sponsorship strategy.

The model was established to show links between the external environmental pressures and the internal organisational responses to make the sponsorship project feasible or workable. The detailed analysis reflected what the expectations of the sponsor were as to benefits and returns, and the desirable

behaviour patterns of the NCT that would not bring the project into disrepute, or damage the reputation of the sponsor. The following figure gives a general outline of the external environment and organisational linkages used in scenario planning (see Figure 23).

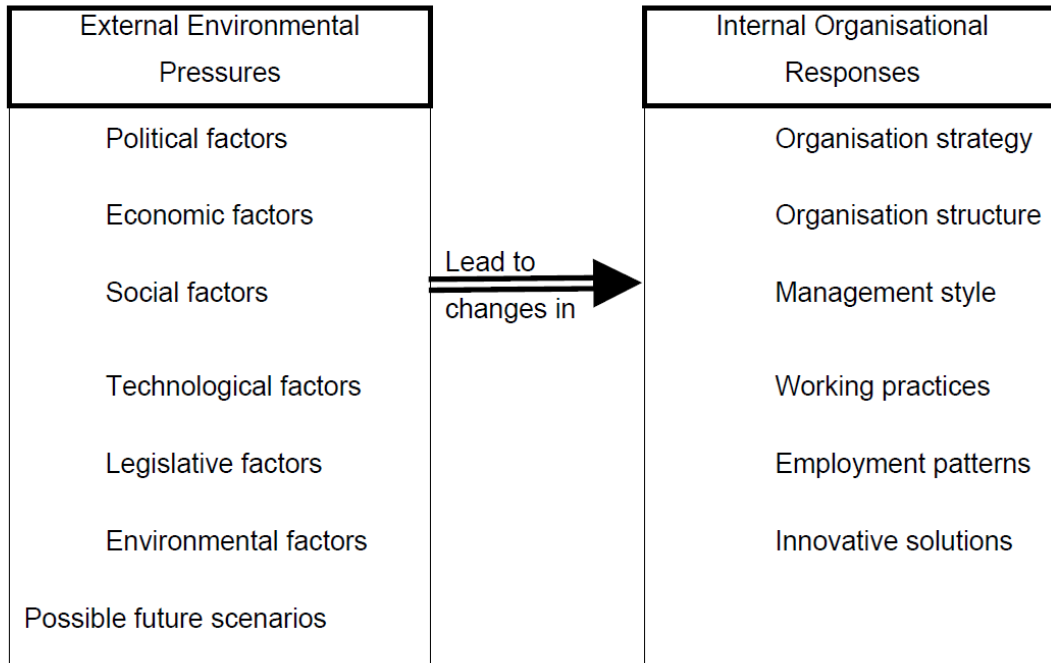


Figure 23: PESTLE Analysis
Source: Based on Huczynski and Buchanan (2013, p.61)

The use of multiple sources of relevant information from scanning and interpreting the corporate sponsorship environment was essential, because of the importance of sponsorship to the Carnival. One useful approach for the identification of relevant information was the development of the causal model which specified the environmental variables regarding the attitudes of companies that affected the NCT. In addition, information was gathered from various business publications, which included the Economist Newspaper,

ABSA/WHSmith Sponsorship Manual, ABSA/ Pat Bowman's Sponsors' Guide, from internet sources etc. The development of the scenarios provided insights about a number of unexpected consequences of the Corporate Sponsorship Strategy. The Corporate Sponsorship Strategy was evaluated in terms of the consequences for the attainment of the key objective specified by the Mission Statement. The other relevant consequences of the strategy included the benefits and costs for the various carnival stakeholders.

The Corporate Sponsorship Strategy was designed to benefit the Carnival while furthering the commercial aims of the sponsoring company, but with respect for the artistic integrity of the Carnival. As a title sponsorship, the Carnival was to be named after the sponsoring company. Our scenario planning indicated that a group of stakeholders might oppose the project on ethical grounds. Their perception was that the Carnival was being commercialised or that commercial considerations would negatively influence the artistic content of the Carnival²⁸. According to Huczynski and Buchanan (2013) managers should surely act ethically. However, there is no consensus on what constitutes "ethical" behaviour. Different commentators use different criteria with regard to decisions over what is right and what is wrong. Those differences may lead to conflicting judgements about the same behaviour.

The ethical dilemma facing the NCT with regard to its Corporate Sponsorship Strategy was dealt with according to the framework of the ethical stance adopted by the organisation. In this context, ethical stance is described in Johnson et al.

²⁸ Appendix XIV

(2014, p.127) as “the extent to which an organisation exceeds its legal minimum obligations to its stakeholders and to society at large”. At the macro level the broad ethical stance of an organisation is a matter of corporate social responsibility. At the micro level, business ethics is about the behaviour and actions of people in organisations. Ethical issues have to be faced at the individual as well as corporate level and can pose difficult dilemmas for individuals and managers who constantly face a range of ethical dilemmas that must be resolved. The absence of a legal obligation to follow ethical principles does not mean that corporate decision-makers are not subject to the same ethical considerations as other members of society.

Johnson, Scholes and Whittington (2008) suggested that organisations can take progressively more intense ethical stances influenced by stakeholder expectations. In this respect, stakeholder mapping can be used to gain an understanding of stakeholder influence. The question is therefore asked: Should organisations adopt an ethical stance? Donaldson and Preston (1995) say that this can be good for business, if it attracts socially responsible customers. In the case of the Notting Hill Carnival this meant that the sponsorship should be tailor-made to suit the purpose of the Carnival as well as the commercial aims of the sponsoring organisation. It was also required to be long-term, because long-term sponsorships were often more valuable and fit the fundamental strategy of the NCT.

10.2.3. Definition of Strategic Management

The Notting Hill Carnival Trust was a not-for-profit organisation owned by a charitable foundation. The organisation involved complex relationships, both internally and externally. This was because the organisation had many internal and external stakeholders who were individuals and groups that depended on the NCT and upon which the NCT itself depended. Within the organisation were people with diverse competing and more or less reasonable views of what should be done or what should not be done. Thus, in the development of strategies, it was always important to look inside the carnival management organisation and to consider the people involved and their different views, interests and aspirations.

Externally, the NCT was surrounded by important relationships, such as with the local authorities, the police, the carnival area residents, etc. that were crucial for the survival of the Carnival. Therefore, strategy was also crucially concerned with the external boundaries of the organisation. The NCT was concerned with questions about what to include within the organisation, and how to manage the important relationships with what was kept outside. Citing from an example outlined in the literature, the decision to move a manufacturing plant from Kansas to Mexico would be considered ethical if it would significantly improve profits, regardless of the effects on plant employees or the local economy (Block, 1993; Gini, 1997; Greenleaf, 1977). Other academics (Donaldson and Preston, 1995; Sharp-Paine, 1994) hold a very different perspective, which is that managers should serve multiple stakeholders inside and outside of the organisation.

Johnson et al. (2014, p.7) say that because strategy typically involves managing people, relationships and resources, the subject is sometimes called “strategic management”. In other words, the things organisations do to adapt over time are what we call strategies and the process of adaptation is called strategic management. Haberberg and Rieple (2000) also said that organisations are bodies of people that come together for a particular set of purposes. Whatever their purpose, they are social systems full of people who have ambitions that they look to the organisation to help them fulfil, or at least not to block. These social systems interact with their environment as economic actors. Thus, when we study strategic management, we are really studying what makes these collections of people effective or ineffective economic performers over a period of time. Two other aspects of organisation are said to be in the way in which they process information from outside and inside the organisation and are able to store it as useful knowledge and to use it to make informed decisions; and the other is how organisations accumulate resources which they then use to do things competitively.

The NCT was brought together by the carnival community, who realised the need to establish an effective carnival management organisation to meet the demands of the ever-increasing growth and popularity of the Carnival. When it was established in 1989, the organisation received a donation of £3,000 from the Royal Borough of Kensington and Chelsea with a “wait and see” mode or attitude stamped on it. In other words, the NCT had to prove itself worthy of

receiving further financial support from the local authority. The total income of the Trust in 1989 was £174, 700 made up as follows:

Public Funding Sources	£ 115,200
Sponsorship and Franchising	15,400
Street-trading Income	25,400
Income From Other Sources	18,700
	<hr/>
	£ 174,700
	<hr/>

Figure: 16 Notting Hill Carnival Income 1989
Source: NCT – Submissions to the GLA, Wednesday 4th July 2001.

It was evident that the Trust could not run the biggest street arts festival in Europe, and provide for the welfare and safety of over one million members of the public on a shoe-string budget. The strategies for change and improvement included a strategy to raise funds through corporate sponsorship on a long-term basis. This strategy required a very high degree of organisational effectiveness to be a characteristic or an attitude of the Trust. As noted earlier, our view of organisational effectiveness was based on a system model as differentiated from the traditionally more popular model of focusing on the achievement of the organisation's goals. This view was supported by Etzioni (1960, p.271) when he stated that "our system model is an effectiveness model. It attempts to define patterns of inter-relationships among the elements of the system which would make it most effective in the service of a given goal". Thus, in the system model, the social integration of the organisation would not be neglected or ignored.

Arguably, in the general business world, the key stakeholders in the main have financial objectives which demand that business organisations must function effectively as economic units. It is also noted that the range of things that organisations and the people within them can do is constrained by this necessity. If they fail, the management team may be sacked or the organisation sold or closed down; and if they succeed on the other hand, people can be rewarded. Further, business organisations must do a number of things in order to fulfil their shareholders' financial objectives. These include the need to generate revenue by providing products and services that satisfy the needs of customers and users, and deliver them at an acceptable cost.

In the main, as mentioned before, a business organisation increases in effectiveness as it obtains increasing outputs with constant or decreasing inputs, or constant outputs with decreasing inputs, and is able to accomplish this in such a way that it can continue to do so. But the NCT, unlike the normal business organisation, had a different strategic environment in which to operate. Beside the statutory costs incurred by public bodies in the staging of the Carnival, the NCT had responsibility for the co-ordination of the activities of the Carnival, as well as the welfare and safety of the carnival spectators. Thus, it could be said that the organisation existed to link the Carnival's artistic participants with the carnival spectators who ultimately benefit from their performances.

10.2.4. Application of Strategic Management

As previously mentioned, the Notting Hill Carnival was a free event. Therefore, a vital part of the activity of the organisation was the raising of the funds needed to enable it to be operational or to carry out its responsibilities. Thus, finding sources of income dictated much of the work of the NCT. The organisation always prepared and submitted grant applications and more often than not got less than it requested. This was something that called for a rethinking and restructuring of the original plans of the organisation, because of the climate of uncertainty and unpredictability that was created. The NCT responded by changing its fund-raising focus to become more commercially orientated in order to raise funds through business sponsorship. It was recognised that the carnival spectators appeared to have no motivation to directly contribute towards the sustainability of the Carnival, but their numbers could be used to indirectly fund the Carnival in a substantial way, through attracting corporate or business sponsorship of the Carnival.

The simple definition of sponsorship is the provision of money and perhaps assistance in other forms, to enable an activity to take place that would otherwise not happen. The definition given by ABSA and Bowman (1987, p.3) is “the payment of money (or provision of goods or services) by a business to an arts organisation for the purpose of promoting the business name, products or services”. Another view of ABSA is that sponsorship is not charity or patronage. Charity is giving without thought of any reward, while patronage is supporting without any commercial incentive. Sponsorship is a commercial arrangement that is beneficial to both parties. More specifically, they state

Business sponsorship is different in character from public subsidy of the arts. Government and local government and agencies like Arts Council England and regional arts associations have a duty to support the country's cultural life. Commerce and industry do not have that duty, but they do have the opportunity and the choice.

Arguably, public subsidy alone should fund the cultural project of the Notting Hill Carnival to contribute to the quality of life of the carnival community and that of the attending public. However, the NCT had to turn to corporate sponsorship for the solution to its funding shortfalls and the associated problem of organisational instability. In this regard, the strategy of the NCT was to re-organise itself and to play on the sense of corporate social responsibility of the private sector organisations.

Good reputation was the most important factor in giving the Notting Hill Carnival access to funding through corporate sponsorship. Through scenario planning, it became abundantly clear that the NCT must adopt management practices that were likely to enhance the perception or impression of organisational effectiveness. Strategies for change and improvement needed to be managed. In this regard, the concept of strategic management was considered as the best vehicle to drive the organisational change. This approach called for strategic planning and the adoption of various professional management practices used in the private sector, the public sector and by some charitable organisations. Haberberg and Rieple (2000, p.489) stated that "many public-sector departments have begun to bring in private sector practices such as strategic planning procedures which have encouraged managers to consider long-term objectives and any systematic change initiatives which might be necessary". NCT used the

concept of strategic management to impose economic and commercial discipline of the private sector on the management practices and procedures of the carnival management organisation. Thus, the organisational culture which focused mainly on maximising inputs was replaced with greater concentration on outputs in terms of the efficient use of resources and the effectiveness of outcomes. Additionally, the organisation moved away from the ad hoc management style which had tended to characterise carnival management organisations of the past.

The appropriateness of the adoption of the business-based procedures has been questioned. The view is that they do not really address or handle the unpredictable political dimensions of the public-sector environment, and that environmental or regulatory changes constrain the strategic choices that public sector executives can take. But, as Polster and Streib (1999, p.324) said

Strategic management in the public sector is concerned with strengthening the long-term health and effectiveness of governmental units and leading them through positive change to ensure a continuing productive “fit” with changing environments.

Arguably, so far as the carnival management organisation depended on public subsidy, it must necessarily be short-term focused, because that was the nature and characteristics of its public funding agencies. They could not or would not promise funding for more than one year. Because of this disadvantage, the NCT changed the strategic environment of its funding so that it was no longer influenced by the political agenda of the public funding agencies for the future. Unlike business organisations, which have at least some chance of shaping and controlling the environment in which they operate, NCT lacked the resources to

positively influence the carnival environment in any meaningful way. Strictly speaking, the control of the carnival management organisation in the carnival environment was limited to the management and co-ordination of the artistic participants and the welfare and safety of the public at the Carnival. These were classified as direct carnival controls but there were also indirect carnival controls. In the indirect controls dimension, the NCT supported the efforts of those with statutory responsibilities for the carnival infrastructure and carnival health, safety and order processes.

Through the use of the concept of strategic management, the NCT developed and grew the resources to underpin the controls necessary to demonstrate its organisational effectiveness. The organisational architecture, value chain, systems and resources were in place to allow the implementation of the mission of the organisation. The task was identical to the management practices of commercial or private sector organisations. The competing demands of the different stakeholder groups were acknowledged, reconciled and made into shared objectives. The appropriate types of control and management systems were introduced. The fundraising infrastructure was designed based on the premises that sponsorship worked best if it was part of a determined policy, and its relationship to other promotional programmes was clearly defined; that sponsorship was no different from other business processes in that it would work better if it was governed by a clear policy; and that sponsorship policy based on a title sponsor with long-term implications, might help the organisation achieve its mission.

There was visible evidence of core competencies of the NCT, or that the organisation was being run in a professional and competent manner. The strategic option of the NCT implied substantial changes in structure, systems or culture, and the management of these changes required specialist skills. Prahalad and Hamel (1990) suggested that the most successful companies will be those that look for opportunities to exploit key skills and competencies across a range of business situations. They claim that the distinguishing feature of those companies with long track records of successful diversification, like Honda and Canon, is their conceptualisation of their companies as portfolios of competencies and not just businesses.

There was also further evidence that adopting the various professional management practices borrowed from the private sector had enhanced people's perception of the organisational effectiveness of the NCT. The NCT was effective because of the upgrades of the standards and status of the management and the Board of Trustees. The management team included a Barrister at Law, a Borough Councillor, a Development Consultant, and a Chartered Management Accountant. The Board of Trustees was made up of experienced and committed representatives of the carnival disciplines and the general carnival community. Here, we have a measure of the capabilities and competencies of the NCT. According to Haberberg and Rieple (2000), capabilities and competencies are what the organisation knows how to do. They are strongly related to the architecture, since competence comes from having capable, well-informed and well-motivated people who work effectively together.

One of the elements of strategic management involves the provision of information for the formulation of an organisation's strategy and managing strategy implementation. To encourage behaviour that was consistent with the strategy of the NCT, a system of performance measurement was designed and used to clarify, communicate and manage the strategy²⁹. The process of incorporating performance measurement within the strategic management process is known as "strategic management accounting". Innes (1998) defined strategic management accounting as the provision of information to support the strategic decisions in organisation. Strategic decisions usually involve the long-term, have a significant effect on the organisation and, although they may have an internal element, they also have an external element. Adopting this definition suggested that the provision of information that supported the long-term decisions of the NCT fell within the domain of strategic management accounting. This view is supported by Cooper and Kaplan (1988) who stated that strategic accounting techniques are designed to support the overall competitive strategy of the organisation, principally by the power of using information technology to develop more refined product and service costs. The Chartered Institute of Management Accounting (CIMA), defines strategic management accounting as "a form of management accounting in which emphasis is placed on information which relates to factors external to the firm, as well as non-financial information and internally generated information" (CIMA Official Terminology, 2000, p.50).

²⁹ Appendix XV

10.3. Strategy Implementation and Adaptation

10.3.1. The Pursuit of Carnival Wealth Creation

By 1989, the Notting Hill Carnival was the largest street festival of arts in Europe, attracting more than a million spectators. For the welfare safety and comfort of the over one million members of the public who attended the Carnival, the organisation and management of the process could not be left at the door of chance or be organised in an ad hoc manner. It was recognised that without a clear and an alternative fundraising strategy, it would have been difficult to ensure the welfare and safety of the carnival spectator as well as that of the artistic carnival performers, and to enhance and develop the carnival process. It was only through the creation of greater wealth that NCT would be able to efficiently and effectively carry out its responsibilities as the carnival management organisation.

Conditions and circumstances suggested that NCT could not depend on the meagre and uncertain public subsidy. Thus, for the sound and desirable financial health and sustainable future of the Carnival, NCT decided on corporate or business sponsorship. For the attainment of this strategy, the Notting Hill Carnival must increasingly become attractive to private sector companies in the context of being a stable arts festival managed by a respectable, credible and ultimately effective carnival management organisation. The ABSA/WHSmith Sponsorship Manual (1983, p.5) advises that the first step in developing a sponsorship strategy is to take a careful look at the organisation, with the aim of identifying the precise nature of the organisation's requirements together with,

the resources to be allocated in attempting to meet them. It cautions that too often requirements are equated with a need for money, which is then in turn equated too readily with sponsorship. It should be recognised that sponsorship is not easy to obtain.

It is time consuming, can be dispiriting and is often unsuccessful. Sponsorship is most easily attracted to successful, financially sound organisations. It is not to be viewed as a last resort ... It is inadvisable to seek sponsorship to fund your overdraft. A dependence on sponsorship for the day-to-day running of your organisation leaves you particularly vulnerable to changes of policy or personnel within your sponsorship company.

It is assumed that organisations exist in order to fulfil the wealth creating objectives of their owners. For example, Porter (1985) assumes that firms aim to make “super-normal” profits; and Ansoff (1957) similarly assumes that the aim of the strategies he recommends is to increase return on capital. Wealth creation appears to be at least one of the reasons why many companies exist and their organisations are driven forward by the concept of wealth. But, like the NCT, organisations do not all come into being for the purpose of creating wealth but to provide social contact or some essential service to society. Alongside their other purposes, they have economic goals because they have to survive within a limited budget. The NCT was a not-for-profit organisation owned by a charitable foundation. The organisation needed to raise enough funds to finance its core activities and to make enough surplus to protect against hard times, and to maintain the financial stability of the organisation. The NCT fundamentally existed to pursue social and welfare missions to underpin the quality and sustainability of the Carnival. The strategy for the pursuit of carnival wealth creation was supported by the strategy for the attainment of organisational

effectiveness. This strategy was also driven by the quality of the organisational design and culture.

The clearly defined and well laid out roles of the Board of Trustees and the professional management team was the key driver of the system of management and the organisational strategy. The ability to connect stakeholder interests with management action was a vital part of the carnival wealth creation strategy. Johnson et al (2014, p.113) say that “corporate governance is concerned with the structures and systems of control by which managers are held accountable to those who have a legitimate stake in an organisation”. The key carnival stakeholders in the carnival governance (or corporate governance) were the general carnival community and the carnival participants or disciplines. NCT recognised the importance of the carnival governance as the foundation for its organisational effectiveness, and this made it a key strategic issue. According to the authors, failures in corporate governance have contributed to calamitous strategic choices in many leading companies, even resulting in the complete destruction of global companies such as the energy giant Enron in 2001 and the leading investment bank Lehman Brothers in 2008 (Lipman & Lipman, 2012).

The governing body of an organisation is typically a board of directors. The primary responsibility of a board is typically to ensure that an organisation fulfils the wishes and purposes of those whom it represents. Generally, there are two governance models. These are the “shareholder model” which prioritises shareholder interest, and the “stakeholder model” which recognises the wider set of interests that have a stake in the success of an organisation. Thus, the culture

of the stakeholder model is to encourage organisations to take account of a wide variety of stakeholder groups in formulating their strategies.

For its corporate governance, the NCT employed the stakeholder model of governance which was based on the principles that wealth was created, captured and distributed among the relevant and important carnival stakeholders. Additionally, the management of the NCT and the carnival stakeholders were linked together via the governance chain. Johnson et al. (2014) say that managers and stakeholders are linked together via the governance chain. The governance chain shows the roles and relationships of different groups involved in the governance of an organisation. The NCT was governed by people elected by members of the carnival community. The Board of Trustees had fiduciary responsibilities, and the decisions about the purpose and strategy of the NCT were influenced by the expectations of the key carnival stakeholders.

10.3.2. Organisation with Sense of Direction

As noted before, the spontaneous nature of the development and growth of the Notting Hill Carnival meant that the carnival management organisation was a response to the existence of the Carnival. Over the years, the Carnival evolved to become a magnet or union of cultural diversity on a very huge scale but its organisation tended to be characterised by an ad hoc management style. There was little or no awareness of the magnitude of the planning, management, financial, logistics, safety and security tasks which the Carnival demanded. The

requirement for change was also applicable to the behaviours of all the relevant public-funding and statutory agencies. The following extract from the organisational review report by Coopers and Lybrand (1988, p.22), makes that point

Equally, some of the funding and statutory agencies have been slow to respond. It is clear to us that all the major organisations with responsibility for the many facets of Carnival should:

- (a) appreciate the scale of Carnival and its social and economic potential;
- (b) be strongly committed to Carnival and to its success;
- (c) work together as appropriate to realise this success;
- (d) understand and be tolerant of the objectives and rights of others

The above recommendation meant that the carnival management organisation had to become attractive and respectable not only to private sector companies but also to the public funding agencies and the statutory bodies responsible for the Carnival's infrastructure and protection.

Therefore, the carnival change initiative had to recognise and deal with the competing demands of the different carnival stakeholder groups, each of which had its own and different objectives. For example, the maintenance of the freedom and spontaneity spirit of the Carnival was one of the goals of the carnival management organisation, but one of the statutory bodies insisted on licensing the Carnival and the different artistic entities taking part, which now required official permission to do so. The range of different cultures and behaviours meant that the survival factor for the NCT was the reconciliation and

bridging of the different perspectives of the various stakeholder groups. In order for the NCT to adopt the strategies, management practices and systems of the private sector firms, we had to re-define and re-design the organisational structure. This was in line with the definition of organisation by Haberberg and Rieple (2000) when they say that organisations are bodies of people that come together for a particular set of purposes. Organisations are a collection of people, economic actors, an accumulation of knowledge and learning, and bundles of resources.

The principal purposes of the NCT as per the Mission Statement were concerned with the safety and comfort of the carnival spectator; the development and improvement of the carnival arts; and ensuring the continued success and popularity of the Carnival, by safeguarding its financial future. The strategy of the organisation was to fund-raise from corporate sponsorship to fund the three core elements of the Mission Statement. The attainment of the strategy was reliant on the NCT being a stable and credible organisation which demonstrated continuity as well as integrity. Each of these key strands depended ultimately on the organisational behaviour of the NCT as a collection of people or as a social system. Most organisations are subject to a range of stakeholder influences but the Notting Hill Carnival had a variety of distinct and very powerful stakeholder groups who exerted almost total influence over the extent to which the NCT could function and change.

Haberberg and Rieple (2000, p.6) define stakeholders as “people with an interest in an organisation’s success, failure or activities and therefore a desire to

influence its behaviour". In designing the organisational structure to cope with the multiple carnival stakeholders, the influence and behaviour of stakeholders was a key factor for consideration. It has been said that organisations do not behave. It is people who behave. This view accords with the definition of organisational behaviour by Huczynski and Buchanan (2013, p.6) who state that "organisational behaviour is the study of the structure and management of organisations, their environments, and the actions and interactions of their individual members and groups".

An organisation is successful only if its key stakeholders are happy to keep it in existence. The requirements of these stakeholders may always be expressed in terms of straightforward accounting measures. Financial techniques are also used to assess the costs of the investment, and the projected financial benefits once the investment is made. At the Notting Hill Carnival, we used scenario planning techniques as the means of "looking before you leap". In other words, we examined the change initiative or proposition before a commitment was made. The costs of the organisational changes and the projected financial benefits were considered in the light of their positive impacts on the "Carnival Arts Development Initiative" and the "Carnival Public Safety Management". It was very vital that the financial outlays were made with due care and consideration to ensure that the fund-raising project was successful.

Through stakeholder analysis, we were able to identify the individuals and groups that had different expectations from the carnival change initiative. There were stakeholders who measured the performance of the NCT in ways that

corresponded to their own requirements, without any regard to the collective view. For example, one stakeholder group was against the policy of reserves creation, and propagated that revenues received should be shared out among the various carnival disciplines in its totality. An organisation's stakeholders may change in the future, and so will be their demands on the organisation. This means that the management needed to be alert to changes over time in the way in which the success of the organisation was to be judged. For example, the strategy of the NCT had to change because the carnival prize-moneys were skewed in favour of a few carnival bands that had the resources to keep winning all the time. In this respect, all the carnival's artistic units shared in the carnival wealth creation project.

10.3.3. Internal and External Stakeholders

In the general business environment, strategy is likely to be driven by the particular requirements of certain powerful stakeholders. These key stakeholders include shareholding institutions, private organisations, government and regulatory bodies. These stakeholders have the power to enforce major changes in management or strategy or to close an organisation down. In the carnival environment, the key stakeholders were powerful enough to cause turbulence in the planning and management. For example, the carnival community closed-down the CAC and established the NCEL; and the Royal Borough of Kensington and Chelsea licensed the Carnival despite loud protests from the carnival community.

The planned objective of the NCT in the long-term was to raise over £2.5 million per annum and to appropriate 60% of this sum towards “Carnival Appearance Fees” and “Carnival Prize Monies”. Additionally, the organisation was committed to the production of safe and successful carnivals. The NCT supported this commitment by increased allocation of financial resources to protect and enhance the standards of the Carnival Stewarding and Carnival Route Management. The NCT also ensured that the standards of quality and skills were relevant for a modern street-festival of arts. Thus, the major beneficiaries of the Carnival Change Initiative were the carnival participants and the carnival spectators, in financial terms.

Through the creation of the carnival wealth, the NCT ensured that the Notting Hill Carnival remained relevant, practical and useful as the magnet or union of cultural diversity in the UK. The organisation was equipped to anticipate and respond to change through the provision of adequate financial incentives to carnival participants and the creation of adequate financial reserves to safeguard the future growth and development of the Notting Hill Carnival. The reserves creation policy was a key strategic decision towards organisational stability, but because of the interplay of power and politics, the policy appeared not to make perfect sense to a group of powerful stakeholders who were conditioned to the way the carnival management organisations had behaved in the past.

Those stakeholders did not recognise the full, objective picture of the uncertain environment of the NCT. Instead, they settled on an imperfect image of the future shaped by their own perceptions and desires, and by those around them

who shared those views. According to Weick (1995, p.89) they are said to “enact their environment. They bring it into existence and then work within it”. Haberberg and Rieple (2000, p.544) also say that when an organisation becomes “misaligned” or “badly adapted to its environment”, the focus on the familiar may be an important cause of strategic slip or drift. It may take an outsider, who does not share the same experience or possibly even values, to bring about strategic change. Those stakeholders assumed that the future would resemble the past and that there was no need for a carnival wealth creation strategy. However, it became obvious to these powerful stakeholders that they had to recognise the constraints on their actions because they were not able to change the wealth creation policy of the NCT. This was because the majority of the stakeholders who believed in the policy fought to retain it. Pfeffer (1992, p.130) reminds us that even dictators need the consent of the governed “to maintain a power position over time”.

The experience of the NCT suggests that the goals pursued by the individual members or a group of stakeholders of an organisation could be quite different from the collective purpose of their activity. This can create an organisational dilemma which is defined by Huczynski and Buchanan (2013, p.31) as “how to reconcile inconsistency between individual needs and aspirations on the one hand, and the collective purpose of the organisation on the other, and also how to design organisations that are effective in achieving overall objectives”. The carnival management organisation, like other organisations, was a political system in which some stakeholders exerted control over other groups or members.

It is also suggested that the power to define the collective purposes of organisations is not evenly distributed. At the Notting Hill Carnival, some internal and external stakeholders exerted too much influence. But Huczynski and Buchanan (2013, p.11) say that “the main limitation on human aspirations lies neither in intellect nor equipment, but in our ability to work together. The main cause of most man-made disasters (Bhopal, Three Mile Island, Challenger and Columbia, Deepwater Horizon) has been traced to organisation and management factors”.

10.4. Concluding Comments

This chapter has outlined the magnitude of the key organisational difficulties inherited by the NCT, and why it made sense to think and act in terms of strategic management as the panacea to the management deficiencies at the Notting Hill Carnival. The major outcome of the strategic management initiative was the replacement of the financial uncertainty surrounding the funding of the Carnival with a carnival wealth creation initiative which relied on private sector organisations for funding, instead of the total reliance on the unpredictable public sector. This achievement was made possible through the design of the management architecture and structure that dealt with the complex and dynamic carnival environment by balancing the varied interests of its multi-stakeholders. In other words, the key responsibility of the professional management team found expression in the strategic change initiative which resulted in a balanced and stable carnival management organisation.

This chapter has firmed and confirmed the strategic orientation and design, and the crucial implementation processes necessary for the achievement of the organisational goals. Underlying much of this work are the ways in which the professional management staff influenced the effectiveness and survival of the carnival management organisation. The NCT being a charitable organisation with multi-stakeholders, its effectiveness was evaluated in terms of how the interests of the various competing members were balanced through the strategic management initiative. This concerns the trade-off between external and internal aspirations, because the management had to deal with internal and external carnival stakeholders who relentlessly made incompatible demands. For example, the internal concern for increasing investment in the carnival arts conflicted with the social responsibility concerns of the external statutory stakeholders who wanted increased expenditure on public safety management at the Carnival.

11. ORGANISATIONAL PERFORMANCE AND MEASUREMENT

11.1. Introduction

This chapter examines the organisational performance and measurement mechanisms employed by the Notting Hill Carnival Trust (NCT). It focuses on the key elements of performance and measurement which are particularly applicable to the nature of the carnival management organisation; and also deals with the particular elements of the change management initiative. It captures the importance of organisational review, evaluation and measurement; and highlights the efforts made by the NCT to prevent its systems and structures from undermining or changing the direction of the organisation through the lack of control. In this regard, the chapter focuses on the key elements of the change management which are described as social arrangements; organisational culture; business philosophy; and the practicalities of managing change. It also focuses on strategy evaluation and measurement with regard to strategic leadership, organisational performance, strategic performance and stakeholder strategy. Since it is possible for the organisational elements of structure and systems to go out of synchrony with the strategy of the organisation, the organisational performance and measurement arrangement is intended to prevent this.

11.2. Key Elements of the Change Management

11.2.1. The Influence of Social Arrangements

A major part of the strategy of business organisations concerns how to compete effectively in the marketplace. At the Notting Hill Carnival, the management organisation aimed at the creation of a stable and credible organisation in order to attract corporate sponsorship to fund its carnival wealth creation initiative. Miller and Cardinal (1994) found support for the proposition that strategic planning by top executives improves an organisation's performance. They also found that strategic planning was more important as the complexity and ambiguity of the environment increased. Therefore, for the re-structuring of the management organisation of the Notting Hill Carnival, the concept of strategic management was adopted.

As stated by Haberberg and Rieple (2000) the things organisations do to adapt over time are what we call strategies, and the process of adaptation is called strategic management. The viewpoints of the desired "future state" of the organisation were influenced by the need to define its fundamental purpose and the use of vision to bond the carnival stakeholders together in a climate of shared vision. Thus, the strategy took into account the nature of the external environment and it also reflected the core mission. Beer (1988) found that organisations were less successful if they were focused on means rather than ends. To avoid dealing with symptoms without understanding the root causes of the problems or failures of the previous carnival management organisation, a

brand new organisation was created. Therefore, the real reasons for the organisational change were made apparent and were established.

The analysis of the problems at the Notting Hill Carnival suggested that the nature of the carnival management organisations was essentially “human activity systems” or “social systems”. Thus, it was necessary to deal with the situation in a different manner. This view was underpinned by the work of Haberberg and Rieple (2000, p.4) when they said that organisations are bodies of people that come together for a particular set of purposes.

Whatever their purpose they are social systems, full of people who have ambitions that they look to the organisation to help them fulfil, or at least not to block them ... They are economic actors that, alongside their other purposes, have economic goals ... When we study strategic management, we are really studying what makes these collections of people effective or ineffective economic performers over a period of time.

The view that an organisation is a collection of people is reinforced by Huczynski and Buchanan (2013, p.8) when they define an organisation as “A social arrangement for achieving controlled performance in pursuit of collective goals” and as “groups of people who interact with each other as a consequence of their membership”.

Given that the major strategy of the NCT was the achievement of organisational effectiveness, it became an objective to effectively manage the varied stakeholder groups of the organisation so that their different interests did not create tension, because tensions could be destructive and could create an unstable and ineffective organisation. The tensions within the carnival

management organisation were resolved through the political processes which were the foundations of the strategic decision-making process. This was achieved through the establishment and maintenance of co-operative relationships by showing respect and appreciation of efforts inside and outside the organisation. Bennis and Nanus (1985) described a similar procedure called “quest” in which executives and relevant outsiders came together to discuss long-range opportunities and risks, and possible reactions by the organisation.

When we study the “golden period” of the Notting Hill Carnival from 1989 to 2002, we are really trying to understand the management organisation as a “collection of people”, and as an “economic actor”, as defined by the academic literature mentioned above. The strategic objectives of the NCT established what needed to change in order for the organisation to survive and prosper. It is one of the guidelines published by Bennis and Nanus (1985) and others that long-term objectives should be based on the stated mission and vision for the organisation. When there are multiple objectives, priorities should be determined to indicate their relative importance.

The main objective of the change was to achieve a level of organisational effectiveness to attract funding from corporate sponsorship for the purpose of financially supporting the key carnival stakeholders. It was the reserves of energy, creativity and sacrifice of the carnivalists which drove and developed the Notting Hill Carnival as a major and highly celebrated arts festival. Thus, their attitudes and behaviour had important consequences for the future of the Carnival. Their efforts and imagination shaped the way in which different parts of

the Carnival worked or failed to work. Additionally, the Notting Hill Carnival was seen as a union of cultural diversity that brought people together in celebration and entertainment. Being the cornerstone of the carnival process, the artistic performers were classified as the “carnival community” for the purpose of stakeholder identification. Without this group of stakeholders, there would be no Carnival. According to Huczynski and Buchanan (2014) people’s attitudes and behaviour can be shaped as much by the structure of the organisation within which they work, as by the personalities that they possess and the group and teams of which they are a part.

Apart from the carnival community, the Notting Hill Carnival had a range and a variety of distinct stakeholder groups who exerted powerful influence over the extent to which the carnival management organisation could function and change. Mitroff (1983) describes stakeholders as “all those interest groups, parties, actors, claimants and institutions – both internal and external to the corporation – that exert hold on it”; and academic authors (Freeman, 1984; Kay, 2014; Martin, 2011) all confirm the need for managers to balance the interests of stakeholders. The nature and the constitution of the carnival environment meant that the NCT was frequently faced with powerful and dominant stakeholders whose activities and behaviour often led to tensions and conflicts which impacted on its organisational effectiveness.

Among the most important external stakeholders were the carnival spectators, residents of the carnival area and the carnival sponsors on whom the Carnival depended for its survival and acceptance. The key strategy for dealing with this

challenge was through communication and the conceptual skills of the management staff. Effective communication was at the heart of the carnival change initiative. The aim of the communication strategy was to share information, and to allow the exchange of ideas to influence the behaviour or actions of the carnival stakeholders. The methods of communication adopted included seminars, public meetings and a carnival newsletter. Kouzes and Posner (1987) suggest that understanding the values, hopes and aspirations of other people in the organisation is essential to finding a vision that will engage them.

Different levels of engagement were necessary according to the nature of the stakeholder group involved in the communication process. According to Sidhu (2014, p.210) “this calls for a mix of approaches and levels of communication along the way. A well thought-out and structured approach to communication and engagement ensures that the right level of interaction occurs with the right people, at the right time, in an efficient way”. On the management capabilities required to underpin the communication process, the emphasis was on interpersonal skills and conceptual skills. The term skill refers to the ability to do something in an effective manner; and the most widely accepted approach for classifying managerial skills is in terms of a three skill taxonomy (Katz, 1955; Mann,1965). The evidence is that “technical skills” are primarily concerned with things; “interpersonal skills” are primarily concerned with people; and “conceptual skills” are primarily concerned with ideas and concepts. The NCT emphasised a fourth category of skills called “administrative skills”. This is defined in terms of the ability to perform a particular type of managerial function

or behaviour to underpin the communication process. Examples included planning, negotiating, diplomacy and tactfulness, fluency in speaking, organised or administrative ability, socially skilled, conceptually skilled, persuasive etc.

In order to achieve successful communication, the NCT ensured that there was an understanding of the complexities of the communication. For example, using very specific technical terms and jargons to a non-technical audience creates noise, which acts as a barrier to effective communication taking place. Unless the receiver is able to understand and interpret the information the sender wishes to communicate, the message is of no use (Sidhu, 2014). The same consideration applied to the communication process of the NCT. The effort was made to hold on to the fact that communication involves the transmission of both information and meaning (Huczynski and Buchanan, 2013). The authors also emphasise that communication is an error-prone process. Thus, to be successful in managing the multiple stakeholders of the carnival environment, it was necessary that the transmitters and receivers shared a common language of understanding.

11.2.2. The Influence of Organisational Culture

In order to meet the objective of the key carnival stakeholders, the NCT had to embark on a change management initiative to change the structure and culture of the carnival management organisation. Weick (1995, cited in Haberberg and Rieple, 2000, p.14) says that “organisations do not have cultures – they are cultures”. This paradigm was at the heart of the distinctive culture developed by

the NCT over a period of 13 years in which the various stakeholders in and around the Carnival gradually reached a way of working and living together.

Large-scale organisational change usually requires some change in the organisational culture. Through changing the culture of an organisation, the management can indirectly influence the motivation and behaviour of members. Schein (1982, p.17) defines the culture of a group or organisation as “shared assumptions and beliefs about the world and their place in it, the nature of time and space, human nature, and human relationships”. In this sense, culture is “what everyone knows” or “the way things are done around here”. The new organisational culture affected the strategic effectiveness of the NCT in that it had a positive impact on organisational members towards outside stakeholders. For example, there was tremendous improvement in the relationship between the NCT’s management and the public funding agencies of the Carnival. This in turn influenced the quality and speed of carnival decision-making, and the extent to which the funders co-operated with the organisation. The change in the organisational culture also brought about the motivation of the employees of the NCT because they identified with the goals being pursued. Haberberg and Rieple (2000, p.414) have hinted that in order for an organisation to prosper, the people within it need to be “motivated to put the organisation’s interest alongside (or even ahead of) their own”.

In view of it being a new organisation, the management of the NCT had strong influence on its culture. To succeed, the NCT needed an appropriate vision and the ability to influence others to accept it. The carnival environment was such

that a considerable conflict would evolve if the ideas of the NCT were not successful. In this regard, Kets de Vries and Miller (1984) say that if the founder of a new organisation does not articulate a consistent vision and act consistently to reinforce it, the organisation may develop a dysfunctional culture reflecting the inner conflicts of the founder. Additionally, the main objective of the key stakeholder was organisational effectiveness. Therefore, the most important element of the culture of the NCT was the set of beliefs about its distinctive competence that differentiated it from the CAC or the previous carnival management organisation, the CDC.

One of the guidelines on vision development by Conger (1989), Kotter (1996) and Kouzes and Posner (1987) is the linking of the vision to core competencies of the organisation. The beliefs included the reasons why the NCT was respected and recognised by the carnival funding agencies, the carnival stakeholders and the private sector corporate sponsors; and the internal management processes that accounted for the continued ability to maintain the status quo. For example, when Nestlé the largest food company in the world wanted to sponsor the Notting Hill Carnival in 1998, the company decided to make its presentation of the project at the offices of the NCT because of the quality of its facilities and the competence and experience of the management staff of the NCT.

The other influence of culture on our strategy was the way it affected the capacity of the NCT to react and change in the face of unexpected circumstances. The patterns of behaviour in the organisation, and the way in

which we viewed the carnival environment and its relationship to the outside world, developed over time as the implementation of strategic initiatives progressed. It became obvious that the underlying beliefs representing the organisational culture of the NCT were learned responses to problems of survival in the external environment and problems of internal integration. For example, lessons learned by the NCT through the Coca Cola sponsorship in 1995 were employed to make a big success of the Virgin Atlantic sponsorship of 1998.

Additional issues that the NCT had to struggle with was the fact that agreement on a general mission did not imply agreement about specific objectives or their relative priority; and that strategies could not be achieved effectively without co-operative effort and reasonable stability of membership in the organisation. For example, the major long-term solution to the negative perception of the Notting Hill Carnival was deemed to be in education and awareness of its more positive aspects.

Schein (1992) distinguishes between underlying beliefs which may be unconscious and espoused values which may or may not be consistent with these beliefs. Espoused values do not accurately reflect the culture when they are inconsistent with underlying beliefs. The action required to regularise the situation meant a substantial outlay of an already scarce resource of funds. Therefore, getting consensus to execute the strategy was a challenge. The key objective of the organisational change was organisational effectiveness but the

supporting strategies for the change included changing attitudes and roles, and the cultivation of the skills needed to help us understand both the Carnival and business environments and to determine how to respond to them. By this approach, we were able to reduce anxiety, uncertainty and confusion.

The organisational culture of the NCT was influenced in a variety of ways but the primary mechanisms that offered the greatest help to the successful implementation of the strategic change were the communication of priorities, re-allocation of carnival prize monies, control systems and procedures, carnival development programmes and seminars, the maintenance of strong values about control and order, and the design of facilities and processes to reflect basic values of the organisation. For example, the establishment of the Carnival Roadshow internationalised the form and management of the Notting Hill Carnival by exporting the Carnival's artistic performances to countries such as Qatar, Denmark, New Zealand, Nigeria and China; and improved attitudes and artistic endeavours among the artistic stakeholders³⁰.

Trice and Beyer (1993) say that another way to influence the culture is to change cultural forms such as symbols, slogans and rituals. A number of different changes are possible, including elimination of existing cultural forms to express the new ideology, and creation of new cultural forms. The NCT initiated a number of changes to signal a new perception which emphasised effectiveness, efficiency and self-reliance, and self-respect. Changes in symbols included a new name and a new logo that symbolised the togetherness of the various

³⁰ Appendix XVI: plans for Abuja Carnival, Nigeria demonstrate the transferability of the methods of management to other social settings.

carnival disciplines. The carnival newsletter became a vehicle for advocating carnival developments and the celebration of achievements of the various carnival groups. The communication of information about other key events like the costume gala, steelpan panorama, calypso competition etc. helped in the transmission of values and assumptions on which the NCT was operating. This was demonstrated by the fact that the internal and external problems of the organisation were closely inter-connected and the NCT had to deal with them simultaneously in an effective and efficient manner. The culture of the NCT, in the main, was the learned responses to dealing with the problems of its survival in the external environment and the problems of integrating the varied internal stakeholders. According to Huczynski and Buchanan (2013) the theory that “people will comply if they understand” suggests that communication has an educational component. Employees who are better informed about “economic realities” are more likely to have realistic expectations and make reasonable demands.

The change in the physical location of the carnival management organisation led to a change in the use of the office space, but the location and size of the office building had major cultural implications. The change was interpreted as messages about organisational priorities, because the budget had to be configured in order to make the change possible. The office accommodation provided facilities for social interaction of the various carnival groups and between members of the carnival community. The change was also interpreted as a message of the prestige and importance of the Notting Hill Carnival in both the internal and external environment. The cultural impact of the new carnival

office was a major determining factor in the decision to house the organisation in such an expensive location.

We have described some of the particular assumptions, values and norms that led to the success of the NCT. These are described by way of organisational culture. According to Yukl (2002) as different subcultures develop in different sub-units, conflicts and power struggle may increase. Segments of the culture that were initially functional may become dysfunctional, hindering the organisation from adapting to a changing environment. Drastic changes are unlikely unless there is a major crisis threatening the welfare and survival of the organisation. But, the office building at 332 Ladbroke Grove, London W10, also offered an additional and extraordinary organisational climate, which is quite different from organisational culture. For example, the use of the carnival office as a carnival community centre and as the meeting place for the key stakeholder groups created warm feelings and positive attitudes towards the organisation. Smith (2015, p.63) says that “organisational climate is somewhat more changeable, reflecting the current feelings and perceptions of key stakeholders”. In order to understand and interpret the culture of the carnival management organisation, we have to consider the established system of desirable behaviours, beliefs and assumptions that was shared and acknowledged within the NCT. In this regard, we draw on the work of Taylor (2005) who lists five positive cultural foci that an organisation might select:

- (i) Achievement (performance, accountability, delivery);
- (ii) Customer-centric (externally focused, service-oriented and sustainable);

- (iii) One-team (collaborative and focused on the internal customer);
- (iv) Innovative (entrepreneurship, agile, creative and learning);
- (v) People-first (empowerment, development, care).

11.2.3. The Influence of Business Philosophy

In the general business world, the key stakeholders in the main have financial objectives which demand that business organisations must function effectively as economic units. In this regard, the business philosophy was geared toward the maximisation of shareholder value. According to Aretz and Bartram (2010) and Rappaport (1997) the proponents of shareholder value argue that corporations and their managers should focus on maximising shareholder value. To fulfil their stakeholders' financial objectives, they must generate revenue by providing products and services to satisfy the needs of customers and users, and they must deliver them at an acceptable cost. An example of some organisations and their financial objectives is given below (see Figure 24):

Organisation	Controlling Stakeholder	Financial Objectives
Sony	Japanese Banks	Sufficient profits to satisfy expectations of banks
McDonalds	US shareholders	Profit Maximisation
Benetton	Benetton Family	Cash flow to fund expansion
British Airways	British and US Financial Institutions	Profit Maximisation
A Medical Research Charity	Sponsors and Donors	Break-even between income from donations, sponsorship and commercial activities and expenditure to fund research
A state prison	Government	To use up allocated budget, but not over-spend it

Figure 24: Financial Objectives of Organisations
Source: Haberberg and Rieple (2000, p.17)

The above listed organisations and many other business organisations do a number of things to fulfil their stakeholders' financial objectives. They have to generate revenue by providing products and services that customers and users want. In order to achieve the financial objectives, these organisations have to configure their operations to produce their outputs efficiently and effectively. But the picture at the Notting Hill Carnival was very different on account of structure and culture. The NCT was established in 1989 by the key stakeholders without any investment, let alone financial objectives. Therefore, the business model of the NCT was based on the multi-stakeholder management approach which is the

alternative to the shareholder value maximisation approach. Freeman (1984) and Martin (2011) say that the advocates of the multi-stakeholder management approach believe that managers should balance the interests of all stakeholders. In comparison with the organisations mentioned in the above table, the key stakeholder and its objective were stated as follows (see Figure 25):

Organisation	Controlling Stakeholder	Non-Financial Objective
Notting Hill Carnival Trust (NCT)	The carnival community comprising artistic designers, artistic performers, music groups, aids, supporters, carnival grandees, concerned well-wishers, trustees and employees of the NCT.	Organisational effectiveness for carnival stability and control by the carnival community.

Figure 25: Organisational Objective, NCT

In order for organisations to meet their stipulated financial objectives, they have to serve their customers or the users of their services effectively. Thus, commercial organisations have revenues from customers; charities receive donations and sponsorship income; and governments keep open a prison or hospital. These organisations serve users by taking inputs and adding value to them or transforming them into outputs that customers are willing to pay for. But the management organisation at the Notting Hill Carnival had no such commercial or operational structures. There was no revenue generation from the millions of carnival spectators. The organisation had no outlay for the production of the carnival art forms and for the cost of the carnival music forms and centres. The major infrastructure costs of the Carnival were borne by the statutory

responsibilities of government and local governments. Thus, the role of the carnival management organisation was reduced to one of co-ordination of the carnival bands, stewarding and the monitoring of the carnival process. The management of the NCT realised that the role of the organisation was not dynamic enough for its carnival wealth creation strategy. This view was also expressed in no uncertain terms by the Coopers and Lybrand Report (1988, p.23) as follows:

- 2.24 The debate about the continuation of Carnival is a clear indication of how the concepts of Carnival are still very foreign to the locality in which it takes place. The situation will not improve unless the Carnival organisers take the initiative and accept the responsibility of “selling” the Carnival to the wider community. Carnival is a good, enjoyable and happy event which at the moment is not shared by enough of the community in which it takes place.
- 2.25 The need to increase the professionalism in planning and managing Carnival cannot be over-emphasised. The implications are considerable, both in the drive for acceptability and support and in the elimination of pressure to ban Carnival. Management skills which reflect expertise in organising large-scale events, financial control, communicating and negotiating at a high level are elements of the level of professionalism which is required

The ABSA and Bowman (1987, p.3) report says that “Government and local government and agencies like the Arts Council and regional arts associations, have a duty to support the country’s cultural life”. But the Notting Hill Carnival, which was and is a dynamic union of cultural diversity in the country and attracted over a million carnival spectators, received the sum of £115,200 in public funding in 1989. This sum was to be applied towards the co-ordination of the carnival bands and the various artistic performers, and also to meet the public safety requirements of the millions at the Carnival. It was recognised that

the future of the Carnival would be threatened by lack of an appropriate level of funding for its organisation and also for the artistic designers and performers. The question of uncertainty haunting the Notting Hill Carnival, combined with the bureaucratic procedures of the public funding agencies, made planning for the future a serious problem.

According to March and Simon (1958) decisions made under uncertainty are the most difficult since the manager even lacks the information with which to estimate the likelihood of various outcomes and their associated probabilities and payoffs. The situation of uncertainty was so novel and complex that it was impossible to make comparative judgements about the financial health of the organisation. Huczynski and Buchanan (2013) also define “uncertainty” as a condition in which decision-makers possess low knowledge of alternatives; there is a low probability of having these available, it is to some degree possible to calculate the costs and benefits of each alternative; and there is no predictability of outcomes. An arrangement which could have been of considerable help to the Carnival was the guarantee of an adequate budget several years in advance, so that long-term plans could be put in place for a rapidly growing Carnival. In other words, there was a requirement for strategic thinking for a popular and growing Carnival. This view is shared by Cole (2015, p.80) when he says:

Strategy defines what an organisation is going to do in the future that corresponds to the changing environment in which it needs to develop and prosper. The reason that most organisations need a good strategy is because with a poor strategy, or in the absence of one, the organisation will not survive. The primary purpose of a strategy therefore, is to show how an organisation intends to develop, given the environment in which it operates.

As the size and popularity of the Carnival continued to increase, it was decided that the capacity and capability of the management organisation had to be commensurate to the rapid growth and changes in the Carnival. This requirement for organisational effectiveness was also to meet the objective of the carnival community, and to make the organisation attractive enough to attract corporate sponsorship on a large scale. The organisational effectiveness was achieved through use of the system model or the social integration of the unit. Etzioni (1960, p.271) says that “Our system model is an effectiveness model. It attempts to define a “pattern of inter-relationships among the elements of the system which would make it most effective in the service of a given goal”. Hence, the imposition of the economic and commercial disciplines of the private sector business philosophy on the carnival management organisation. Therefore, NCT placed emphasis on business planning and control systems which produced organisational stability and effective management. Through the effective management of the Notting Hill Carnival, the long-term objective of generating sufficient income from business sources to ensure the future development and possibilities of the Carnival was achieved.

In view of the inadequacy and the uncertainty of public funding of the Carnival, the NCT did not only raise funds from business sources but also maintained a reserve creation policy with the following objectives:

- (i) To create a credible and financially stable carnival organisation
- (ii) To aid a more effective planning of the carnival process without fears of financial uncertainties and constraints.
- (iii) To support innovation and the continued development of the creative work and talents for the production of carnival art forms.

- (iv) For the acquisition of an appropriate and suitable carnival premises to facilitate the expansion of the Carnival Arts Development Initiative (CADI).

11.2.4. Practicalities of Managing Change

A major strategic, cultural and organisational change programme is often described as a turnaround. This is the term used when a company's performance is turned from declining or poor to improving and successful. The increased growth and popularity of the Notting Hill Carnival was not in question, but the poor quality of its management organisation before 1989 had the negative affect of bringing the Carnival into disrepute. Haberberg and Rieple (2000) say that a firm is successful only if its key stakeholders are happy to keep it in existence. The requirements of these stakeholders may not always be expressed in terms of straight-forward accounting measures, as was the case with the carnival community of the Notting Hill Carnival in 1989. The CAC had to be replaced because it had declined to the point of crisis which was similar to business organisations in decline. Slatter (1984) has shown that poor management and poor financial controls are the most common causes of corporate crisis. The recovery strategy or turn around by the NCT was possible because it contained a number of elements, the main ones being effective financial management, and the transformation of the culture and architecture which involved a change of leadership and the inception of a new management team.

Carnival's organisational turnaround was needed because of the negative impact of the mismanagement of the CAC on the successful and highly popular event. The organisational review report of Coopers and Lybrand (1988, p.23) pointed out that "management skills which reflect expertise in organising large-scale events, financial control, communicating and negotiating at a high level are elements of the level of professionalism which are required". The essence of the report was that the negative attitudes and behaviour of the old management team must be replaced. On defensive and negative behaviour in organisations, Ashforth and Lee (1990, p.624) identify many defensive behaviours that can be put under the general heading of "negative power", notably, political behaviours which block or inhibit the ability of others to achieve things. Many appear to be an attempt to minimise the personal risk of losing one's position or job during periods of uncertainty. Examples include over-conforming, passing the buck, playing dumb, stalling, playing safe etc. The turnaround management at the Notting Hill Carnival required fast and radical changes without the financial resources available for the project. Raising funds from corporate sponsorship required considerable skills and credibility with business organisations.

The particular types of change programmes which dealt with the need to alter specific elements of the carnival management organisation were the value chain and the architecture. In this respect, the organisation is regarded as a set of business processes. Beside the value chain analysis, business processes are of importance in a popular change management technique known as business process engineering (Hammer & Champy, 1993). Business processes are sets of activities that run through an organisation. Each business process included a

number of sub-processes. At the Notting Hill Carnival, our carnival or business processes covered financial management, human resources management, carnival participants, carnival spectators, carnival associations, carnival street-trading, carnival stewarding etc. For example, the NCT defined a carnival association as one of the building blocks of the organisation. Thus, the better organised and structured an association was, the better the quality and level of its participation on the management of the Notting Hill Carnival. The carnival associations were integrated within a broader social, economic and cultural climate. Like functions or units in a business environment, the NCT ensured that the carnival associations did manage and control their activities to underpin the stability and effective management of the carnival organisation. It is believed that this kind of structure, by cutting across traditional functional boundaries, helps organisations manage their processes more effectively (Garvin, 1995; Hammer & Stanton, 1999)

In the business organisation, culture and architecture are viewed as forming the atmosphere within which a value chain must function. It is believed that for the effectiveness or competitiveness of an organisation, the various functions or departments should work together by forging harmonious linkages. The other aspects of an organisation that are useful in establishing its competitiveness extend outside the firm to relationships with suppliers, distributors and franchisees. These two concepts of culture and architecture stand at the heart of the relationships between the people in an organisation and between the organisation and its staff. Haberberg and Rieple (2000, p.289) say that the effectiveness of an organisation has been shown to be affected by the warmth of

interpersonal relationships, the extent to which people identify with the firm's aims and values, and the nature of the contractual relationships that people have with the organisation that employs them.

Thus, the formal manifestation of these relationships in structures and control systems, also have a significant impact on the way that organisations are able to operate.

At the Notting Hill Carnival, the NCT realised the importance and suitability of the two concepts of culture and architecture. They were employed to form the atmosphere within which the activities within the organisation and outside must function. Business organisations use the concepts for the improvement of their competitiveness. But the NCT employed these concepts for its organisational effectiveness and survival. The internal relationships were formalised routines which were important aspects of the competencies and capabilities of the NCT. In view of the wider interests and views available in the carnival environment the "committee" system of management was employed to some extent. Thus, both mechanistic culture and organic culture were employed in order to tap into innovative and creative ideas from outside the organisation. The influence of this culture was partial but very effective in that a wealth of practical and innovative ideas resulted from the process. Peters and Waterman (1982) advocated that firms should adopt a particular type of organic culture. Their research indicated that successful firms tended to have cultures that favoured working in teams and that were shaped by strong sets of corporate values, widely shared by people in the organisation. Goffee and Jones (1996, p.134) later classified these types of culture as "communal".

Apart from its internal working organisation the NCT sought to build thriving relationships and bonds of trust with the external stakeholders. These included the carnival community, the public funding agencies, the emergency services, the carnival area residents etc. The nature of these relationships was of vital importance and it represented a mechanism for the maintenance of stability which translated into organisational effectiveness. The application of the concept of culture and architecture allowed the mission of the NCT to be accomplished or to be successful. The vision provided a sense of purpose, unity and continuity by linking the aspirations of the carnival participants and the comfort and security of the carnival spectator to a vivid image of a better future for the Notting Hill Carnival.

In defining the purpose of an organisation, we consider the different types of “financial and other objectives” that stakeholders may impose on the organisation. In certain cultures, great importance is attached to the idea that the shareholders are the owners of the company so that their interests take precedence over those of other stakeholders. It is assumed that man is a rational economic actor. That people do what they can to maximise their wealth and that organisations exist in order to fulfil their owners’ wealth-creating objectives. Porter (1985) assumes that firms aim to make “super-normal” profits. Ansoff (1957) similarly assumes that the aim of the strategies he recommends is to increase return on capital.

The NCT adopted the strategies, management practices and systems of private sector companies, but the drivers of its organisational purpose were different.

However, an important facet of the NCT was its label as an economic or commercial actor, because its organisational purpose was also shaped by economic and financial considerations. But in the main, the NCT was shaped by social and cultural considerations. Haberberg and Rieple (2000) have pointed out that organisations are very much social systems, and they show how social and cultural considerations can also shape its strategic direction.

Carnival wealth creation was one of the reasons why the NCT went through the change management initiative. The carnival management organisation did not come into being for the purpose of creating wealth in the sense of a business organisation. The pursuit of carnival wealth creation in practice was an outcome of a stable and effective carnival management organisation. The philosophy behind the concept was the provision of social contact or the appreciation of the indefatigable and not fully rewarded efforts of the artistic carnival designers and performers. Another aspect of the concept of carnival wealth creation was the promotion and maintenance of a secure and comfortable carnival environment for the carnival spectator as well as for the carnival participant. Thus, the general strategy of the NCT was the herculean improvement of the general financial posture of the Carnival to keep it stable and dynamic in order to ensure the safety of the public.

Economic rationality was not the only factor that drove the strategic decisions of the NCT. The carnival management organisation was a social entity, made up of a group of people who interacted and bonded with each other and within the carnival community in which it operated. The focus of this approach was the

employment of systems thinking because of the complex inter-relationships of the large stakeholder units found in the carnival environment. It was also necessary to understand the multiple problems and to appropriately deal with them. Senge (1990) says that a major barrier to learning is the common tendency to apply simplistic mental models that allow only a limited understanding of the reasons for events. Systems thinking involves the use of mental models that acknowledge complex inter-relationships and cyclical causality. In a systems model, problems have multiple causes, which may include actions taken earlier to solve other problems. Actions have multiple outcomes, including unintended side effects. Through the creation of values that drove its strategies, the NCT had a mechanism for unifying the organisation and which were influenced by its ethical ties to the wider carnival community. Thus, one of the most effective ways of achieving its strategic goals was by the changing of people's behaviour and attitudes.

According to Eisenstat, Spector and Beer (1990) many attempts to introduce change in an organisation emphasise changing either attitudes or roles, but not both. The attitude-centred approach involves changing attitudes and values with persuasive appeals, training programs, team-building activities or a culture change program. For example, changes to the carnival arts reward system meant that for participating in the carnival, a band was rewarded. It was an important symbol that making money without winning a prize was important. This was one of the relatively easy ways of changing beliefs and attitudes of some carnival stakeholders towards the organisation.

11.3. Strategy Evaluation and Measurement

11.3.1. Strategic Leadership Assessment

The Notting Hill Carnival Trust embarked on a deliberate strategy which involved intentional formulation or planning to build the image of the Carnival, by turning around the reputation of its management organisation. Arnold (2008) has observed that reputations are normally made over a long period. Once a good reputation is established it can be a source of very high returns (assuming that all the necessary ordinary resources are in place to support it). Perhaps the most important manifestation of the importance of reputation is branding. Branded products live or die by reputation. The reputation of the NCT was enhanced through a process of strategic planning which involved the whole carnival community, the strategy was influenced by the key demand of the key stakeholder, that of “organisational effectiveness”. This was because the poor management antics of the previous organisation tarnished the image of the Carnival to some extent.

In 1989, the carnival community appointed Claire Holder, a barrister at law, to head the new organisation. The personality, position and reputation of the new leader were central to the strategy development process. This was because she was highly committed to the success of the organisation, and for that matter, the enhancement of the stability and credibility of the Notting Hill Carnival. According to Johnson et al. (2014) this is often the case in small businesses and family businesses, but may also persist when a business becomes very large. Such is the case with Richard Branson at Virgin or Ratan Tata of the Tata Corporation.

Or it could be that an individual chief executive has played a central role in directing the strategy of an organisation, as with Mark Zuckerberg at Facebook or Michael O’Leary at Ryanair.

The NCT found in Claire Holder a strategic leader who was associated with the overall vision, mission or the strategic intent that motivated the carnival community, and helped create the shared beliefs and values within which the carnivalists worked together effectively. Her leadership of the carnival management organisation happened to be a critical determinant of the organisational effectiveness of the NCT. Huczynski and Buchanan (2013, p.652) define leadership as “the process of influencing the activities of an organised group in its efforts towards goal setting and goal achievement”. Stogdill (1950, p.3) defined leadership as “an influencing process aimed at goal achievement”. His definition has three components:

Firstly, it defines leadership as an interpersonal process in which one individual seeks to influence the behaviour of others.

Secondly, it sets leadership in a social context, in which the other members of the group to be influenced are subordinates or followers.

Thirdly, it identifies a criterion for effective leadership, goal achievement – which is one practical objective of leadership theory and research.

Claire Holder was not only a leader of the carnival management organisation, she was also a manager. It was her efforts as a manager which underpinned her leadership role. Some commentators in the academic arena have argued that leaders and managers make distinctly different contributions. Others maintain that leadership is simply one facet of a complex management role. Bennis and

Nanus (1985, p.20) have argued that “managers do things right” while “leaders do the right thing”. Leaders are thus often seen as visionaries who drive new initiatives. Managers simply seek to maintain order and stability. But Birkinshaw (2010, p.16) argues that leadership and management must be seen as complementary, as roles that the same person plays at different times, as “two horses pulling the same cart”. Mintzberg (2009, p.8) also poses a challenge to the distinction between leaders and managers when he says:

Frankly, I don't understand what this distinction means in the everyday life of organisation. Sure, we can separate leading and managing conceptually. But, can we separate them in practice? Or, more to the point, should we even try? We should be seeing managers as leaders, and leadership as management practised well.

Kotter's (1990) contrast between leaders and managers is summarised in the following table (see Figure 26):

Leadership versus Management		
	Leadership functions	Management functions
Creating an agenda	<i>Established direction</i> vision of the future; develops strategies for change to achieve goals	<i>Plans and budgets</i> decides actions and timetables; allocates resources
Developing people	<i>Aligning people</i> Communicates vision and strategy; influences creation of teams which accept validity of goals	<i>Organizing and staffing</i> Decides structure and allocates staff; develops policies; procedures and monitoring
Execution	<i>Motivating and inspiring</i> Energizes people to overcome obstacles; satisfies human needs	<i>Controlling problem-solving</i> Monitors results against plan and take corrective action
Outcomes	<i>Produces positive and</i> sometimes dramatic change	<i>Produces order,</i> <i>consistency; and</i> <i>predictability</i>

Figure 26: Leadership versus Management (Function)
Source: Huczynski & Buchanan, 2013, p.654, based on Kotter (1990)

Birkinshaw (2010, p.6) draws on the writings of Kotter (1990) and Bennis (1989) and summarises their main arguments as follows (see Figure 27):

Leadership versus Management		
	Role of a manager	Role of a Leader
<i>Warren Bennis</i>	<p>Focuses on efficiency</p> <p>Accepts the status quo</p> <p>Does things right</p>	<p>Focuses on effectiveness.</p> <p>Challenges the status quo</p> <p>Does the right things.</p>
<i>John Kotter</i>	<p>Coping with complexity</p> <p>Planning and budgeting</p> <p>Controlling and Motivating people.</p>	<p>Coping with change.</p> <p>Setting direction.</p> <p>Problem-solving</p>

Figure 27: Leadership versus Management (Role)
Source: Birkinshaw (2010, p.6)

The main feature of the strategic development was the high degree of discipline attained through the dedication of each carnivalist and the staff to the interest or goal of the whole carnival organisation. The academic literature suggests that this can be viewed as corporate culture or a special form of clan control. Clan control has been defined as “the informal socialisation mechanisms that take place and that facilitate shared values, beliefs, and understandings among organisational members” (Turner & Makhija, 2006, p.210). According to Ouchi (1979) clan controls are based on the belief that by fostering a strong sense of solidarity and commitment towards organisational goals, people can become immersed in the interests of the organisation. For example, when the Virgin

Atlantic sponsorship of the Notting Hill Carnival was ambushed by a rival airline, it was the carnival community which put a stop to the activities of the rival airline at the Carnival. Macintosh (1985) illustrates an extreme example of clan control by describing the exploits of the Japanese Kamikaze pilots during World War II. He describes how each pilot fervently believed his individual interests were served best by complete personal immersion in the needs of Japan and the Emperor.

Expressed in another way, the strategic objectives of the NCT motivated behaviour that was organisationally desirable, which could be described as encouraging goal congruence. This goal congruence was achieved because the purpose and strategy of the NCT were influenced by the expectations of the key stakeholders who recognised organisational effectiveness as the key to the survival and prosperity of the Notting Hill Carnival. According to Tichy and Devanna (1986), in most cases a successful vision is not the creation of a single, heroic leader working alone but instead it reflects the contribution of many diverse people in the organisation.

The systematic analysis and exploration to develop the carnival management revival strategy occurred from 1989 to 1991. This was a formalised planning process in which the new management team had to learn and understand the problems and difficulties of the carnival management organisation and of the Carnival itself. The importance of this approach is affirmed by Johnson et al. (2014, p.404) when they say that: "Founders are more successful at achieving rapid growth in nascent, fast growing markets, most likely by applying what they

have learnt from their previous experience. CEOs that are recruited need more time to build their knowledge and influence but tend to be more successful in complex market conditions". The focus of the strategy at the Notting Hill Carnival was on governance and the purpose of the carnival management organisation. But the ultimate manifestation of these two factors was the attainment of "organisational effectiveness". In other words, the aim was to create or establish a better management organisation for the Notting Hill Carnival.

The central governance issue was the role of the Board of Trustees, since they had the ultimate responsibility for the success or failure of the Notting Hill Carnival Trust. Thus, they were concerned with the strategy of the NCT, but the strategic management was entirely delegated to the management team of the NCT, with the Board receiving and approving the strategic plans and decisions.

The work of Kouzes and Posner (1987) suggest that executives are not the only stakeholders to consult in formulating a vision. Understanding the values, hopes and aspirations of other people in the organisation is essential to finding a vision that will engage them. The Board provided oversight on behalf of the key stakeholders, and ensured that the organisation's strategy was not "captured" by the management at the expense of other stakeholders. The Board of Trustees was committed to the mission of the organisation, and was keen to become involved with the strategic process, but subject to the following guidelines:

- (i) The Board of Trustees must be seen to operate "independently" of the management of the Trust.
- (ii) The Board of Trustees must be competent to scrutinise activities of the management of the Trust.

- (iii) The Board of Trustees must have the time, the training and the information in order to do their job properly.

The stakeholder model of governance was employed at the Notting Hill Carnival. This model is founded on the principle that wealth is created, captured and distributed by the variety of carnival stakeholder groups. Thus, in this model, the NCT was responsive to multiple stakeholders. According to Post et al. (2002) the central idea is that any organisation creates or destroys value through interactions with its stakeholders. Effective stakeholder management therefore involves developing and utilising relationships with these stakeholders for mutual benefit. Given the concern of the key stakeholder for organisational effectiveness of the Trust, there was a closer level of monitoring of the management, and greater demands for information from the carnival community. Management was under greater pressure to perform. This was because power resided with the carnival community who eagerly stood by to intervene in the case of management failure. Therefore, NCT had to take account of the likely reactions of these powerful players.

According to Johnson et al. (2014) close monitoring by powerful stakeholders could lead to interference, slowing down of decision processes and the loss of management objectivity when critical decisions have to be made. On this development, the NCT took the view that it was there to fulfil a particular purpose in which legitimacy mattered. Legitimacy in this sense involved following norms of appropriate conduct in the eyes of the carnival community. Legitimacy was treated as an overarching concept of purpose where ethical conduct and fairness to stakeholders all played a role. Thus, the strategy was developed to be

legitimate in the wider sense of satisfying all key carnival stakeholders' expectations of appropriate conduct. In this way, the NCT was able to cope with the untenable behaviour problems that it faced.

Senge (1990) says that by helping people to understand and improve their mental models, a leader can increase their ability to learn and solve problems. In this way, the leader also helps people understand that they are not powerless and can collectively influence events in the organisation. The NCT also had to play the legitimacy game in order to avoid interference by the public funding agencies who felt that their statutory position gave them power over the Notting Hill Carnival. For example, in 2001, a council staff from the RBK&C, decided to alter the strategic decisions of the NCT because he was a local authority staff and therefore had the power to do so. On another occasion, a public funding agency attempted to influence the employment policies of the NCT, even though it had no legitimate right to do so.

11.3.2. Organisational Performance Assessment

Much of the assessment of the NCT in the period from 1991 to 2002, was concerned with the monitoring and evaluating of its strategic initiatives. One of the major issues examined was concerned with the maintenance of the organisational stability of the NCT, since its performance depended primarily on factors beyond its control. Stewart (1982) holds that constraints are characteristics of the organisation and external environment limiting what a manager can do. They include bureaucratic rules, policies and regulations that

must be observed and legal constraints such as labour laws, environmental regulations, securities regulations and safety regulations. These factors included the policies of the supporting statutory agencies, government and local government etc. The NCT inherited an organisation with gaping fault lines and without purpose. The potential for making improvements was severely limited by internal and external constraints. Thus, it was stakeholder coalitions, not individuals that had enough influence to make the major strategic changes undertaken by the NCT. The power and discretion of the NCT to make the major strategic changes was an important determinant of the organisational performance. Thus, in assessing the performance of the organisation, we have to examine the situational constraints on the discretion of the management team, and the aspects of the situation that determined how much influence the team had on the performance of the NCT.

Hambrick and Finkelstein (1987) say that the CEO's discretion can be limited by a variety of internal organisational factors. One type of constraint involves powerful inside forces or coalitions within the organisation. In this and other ways, the discretion of the NCT was also limited by powerful internal and external stakeholders that dictated conditions and even policies. Yukl (2002, p.343) states that "people resist change that threatens their status and power, contradicts their values and beliefs, or requires learning new ways of doing things". The financial condition of the NCT was also a powerful determinant of discretion. Less discretion was possible because most of the funds from the public funding agencies were restricted, and by Charity Laws they must so remain. This situation made it very difficult to finance the change to achieve rapid

organisational effectiveness. The most restrictive situations were when internal and external constraints were so severe that the NCT could not implement any significant strategy change or function effectively. Some of these occasions were:

- (i) For a period of three months in 1991, the NCT had no office space from which to function because of the undesirable behaviour of one member of a stakeholder group.
- (ii) The Commission for Racial Equality abruptly stopped its funding for the Carnival. The NCT had been applying the fund towards the maintenance of core staff for operational capability.
- (iii) In 2001, the Mayor of London refused to honour his contractual commitment to fund the carnival stewarding operations and frustrated the Carnival. To protect the image and reputation of the Mayor, the NCT used its financial reserves to pay for the stewarding cost of £220,000. Thus, the NCT experienced organisational discomfort and stress without its financial safeguard.
- (iv) In 2001, the RBK&C, without consultation with the management organisation, decided to license the Carnival in order to assume absolute control of it. By this behaviour, the local authority changed the ownership dynamics of the Carnival and thereby created unnecessary organisational conflicts and instability which the NCT had worked so hard to keep at bay.

The discretion of the management of the NCT to drive forward the strategic initiative depended in the main, on how the internal and external stakeholders perceived the performance of the carnival management organisation. In a sense, these discretions or choices can be described in terms of Kotter's (1982) concepts as what agenda to set, what contacts to make and how to influence people to implement the agenda or (the change initiative). The organisational review report by Coopers and Lybrand (1988) painted a picture of an organisation in crisis that needed rescuing. The report (p.22) also stated that

The need to increase the professionalism in planning and managing Carnival cannot be over-emphasised. The implications are considerable, both in the drive for acceptability and support and in the elimination of pressure to ban Carnival.

The perception of the key stakeholder was that the Notting Hill Carnival was in crisis because of the problems of its management organisation, and it was very important that, that problem was solved. Thus, the NCT had the necessary mandate to bring about the required change. From the works of Yukl (2002, p.343) the following words support the discretion for strategy development by the NCT:

In a crisis situation where organisation performance is declining and the survival of the organisation is in doubt, leaders are expected to take more decisive, innovative actions to deal with the crisis. Innovative changes are less likely to occur in periods of relative stability and prosperity for the organisation. When people do not perceive any crisis, attempts by the leader to make major changes are likely to be viewed as inappropriate, disruptive and irresponsible.

As mentioned above, the power and discretion to make major changes was an important determinant of the organisational performance of the NCT. This organisational performance can further be measured or assessed using two basic approaches to performance measurement. These are direct economic performance and overall organisational effectiveness. The direct measures of success in terms of organisational effectiveness were of more importance and relevance because it was the foundation for the economic or financial success. In other words, the overall effectiveness of the NCT depended not on economic or financial performance but on the range of factors that supported the long-term survival and prosperity of the organisation. According to Haberberg and Rieple (2000) the goal which not-for-profit organisations aspire to and against which

their effectiveness can be judged are quite different from public sector or commercial firms. Although not-for-profit organisations must live within their financial means, “profits” are not relevant except as a means to an end.

The major factor that influenced the organisational effectiveness of the NCT was the change in the organisational culture. It was the change in culture in the sense defined by Schein (1992, p.18) that influenced the motivation and behaviour of the key players in the carnival environment. Objectives and strategies could not have been achieved effectively without the cooperative effort of the Board of Trustees, management staff and the members of the carnival community. Through culture, the management understood the carnival environment and was able to effectively determine its response to changes taking place. Thus, anxiety, uncertainty and confusion were reduced. For example, when the CRE abruptly stopped funding the Carnival in 1998, the NCT had anticipated the change in advance and was prepared for it.

As solutions were developed through experience acquired over time, they became shared assumptions which were used to guide the management. The beliefs that developed around the internal and external problems of the NCT, served as the basis for guiding behaviour and helping the staff to maintain comfortable relationships with each other. This resulted in increased organisational capability and competencies. Thus, one could sense the relationship between a strong culture and organisational performance. Furnham and Gunter (1993, p.233) hold that “a well-developed and business specific culture in which management and staff are thoroughly socialised ... can underpin

stronger organisational commitment, higher morale, more efficient performance and generally higher productivity”.

The performance of the NCT can also be measured in financial terms, but its financial achievements and successes depended largely on its organisational effectiveness. The success of organisations, measured in financial terms, depend on a number of factors which include competitive product price, product appeal, technological advantage etc. Thus, it is argued that a strong organisational culture on its own would not likely improve company performance and lead it to success. But Schein (1992) argues that all organisations need to solve problems of internal integration as well as problems of external adaptations. Objectives and strategies cannot be achieved effectively without co-operative effort and reasonable stability of membership in the organisation. Therefore, a successful company may be found to have weak culture. On the other hand, the success of the NCT was entirely due to its strong culture which embraced the Board of Trustees and the core management staff, the temporary staff, the carnival participants or disciplines, and the wider carnival community.

It was noticeable that the financial performance of the Trust actually affected the strength of its culture. For example, the improvement in the financial condition of the Trust or the availability of surplus financial reserves meant that it was easy to finance innovation or new ideas which were critical for further development of the Carnival, i.e. the Carnival Arts Development Initiative. The experience of the NCT supports the fact that a company’s successes and achievements

themselves become unifying factors among the staff and carnivalists. But a strong culture was the initiating cause of the success of the Trust.

It is assumed by the academic literature that companies with strong culture perform better than those with weak ones. Deal and Kennedy (1982) say that a strong culture is held to unite the staff, and direct their attitudes and actions. Huczynski and Buchanan (2013, p.130) also make the following distinction between strong culture and weak culture:

Strong culture: A culture in which an organisation's core values are widely shared among employees and intensely held by them and which guides their behaviour.

Weak culture: A culture in which there is little agreement among employees about their organisation's core values, the way things are supposed to be, or what is expected of them".

The cultivation of strong culture at the Notting Hill Carnival aided the success of the NCT because of the appropriateness and suitability of its values. In other words, the values were suitable for coping with the conditions faced by the organisation. This was achieved by the recruitment of suitable employees who were attracted to the Trust because of what the organisation stood for and what its goals were; and also through training and organisational socialisation.

Nevis, Dibella and Gould (1995) suggest that to succeed in this turbulent environment, organisations need to have people at every level who are oriented toward learning and continuous improvement. Organisational learning involves acquiring new knowledge, either by discovering it or by initiating the best practice of others. Additionally, the expectations of the carnival management organisation were communicated to the staff and the carnivalists through seminars where

desirable attitudes and behaviours were illustrated. People who did not fit in with the organisation, left; and people who remained tended to be like-minded, because they shared the established values of the organisation or shared similar experiences which prevailed. The development of strong culture occurred over a period of time, and was shaped by the long-term employment of the core staff. It was further shaped by the lengthy and comprehensive selection and employee evaluation processes.

There was an institution of a strong socialisation process such as the mandatory training programmes and seminars, and the community-centred social activities in the Carnival Office and on Carnival Roadshows. These provided an extremely strong shaper of behaviour because of the development of the bands and strength of understanding between people. The level of togetherness developed may be compared with that of family-run businesses. According to Ouchi (1978, 1981) family-run businesses, or those which have a family-like ethos, have particularly strong cultural control systems. He calls them “clan” firms and Mintzberg (1979, p.480) “missionary” organisations. The managerial literature further holds that strong cultures may not necessarily be “good” cultures if they result in employees holding inappropriate attitudes and managers making wrong decisions; and that a company’s strong culture may impede its success if it encourages conformist attitudes. Miller (1994) suggested that it can cause inertia (clinging to past recipes); immoderation (foolish risk-taking); inattention (selective perception of signals); and insularity (failure to adapt to the environment). IBM, a corporation acknowledged for its strong culture, nearly collapsed in the 1990s when it failed to respond to Apple’s challenge and initially failed to make the

transition from mainframe to personal computers. Thus, one can compare the advantages and disadvantages of strong culture as follows (see Figure 28):

Advantages	Disadvantages
Differentiates the organisation from others	Makes merging with another organisation more difficult.
Allows employees to identify with the organisation	Attracts and retains similar kinds of employees, thereby limiting the diversity of thought.
Facilitates employees behaving in ways desired by management	Can be “too much of a good thing” if it creates extreme behaviour among employees.
Creates stability within the organisation.	Makes adapting to a changing environment more difficult.

Figure 28: Strong Organisational Culture, Advantages and Disadvantages
Source: Colquitt, LePine & Wesson (2009, p.557)

11.3.3. Strategic Performance Assessment

As we have seen above, the purpose of the carnival management organisation from 1989 to 2002, was developed by its mission, its management and its committed key stakeholder or the carnival community. In this development, the NCT underwent a planned organisational change with a view to achieving organisational effectiveness. In this regard, the NCT developed and followed a pattern of events that occurred from the beginning of the change to the end of the change. Lewin (1951) describes the pattern of events in the change process with his force field model. He proposed that the change process can be divided into three phases: “unfreezing”, “changing” and “refreezing”. He observes that in

the unfreezing phase, there is a realisation that the old ways of doing things are no longer adequate. In the change phase, new ways of doing things are examined and a promising approach is selected. In the freezing phase, the new approach is implemented and established. All the three phases were important in the successful change of the management organisation of the Notting Hill Carnival.

The new approach or strategy was driven, among other things, by the following factors:

- (i) The governance of the Notting Hill Carnival must be maintained and retained at the community level, and the carnival community needed to demonstrate its capability and competence in this regard. Thus, the main concern and expectation of the carnival community was the attainment and the sustainability of an effective carnival management organisation.
- (ii) The external agencies involved in the facilitation of the Carnival must endorse and recognise the Notting Hill Carnival as a union of cultural diversity. The first step towards this recognition was that the views of the carnival management organisation must be respected and appreciated, and this could only be achieved by a highly-disciplined organisation.
- (iii) The increased growth in the popularity of the Notting Hill Carnival had turned it into a public institution with massive impacts on the cultural life of the people, both nationally and internationally. An effective management organisation would be another plus in this desirable attribute of the Carnival.
- (iv) The comfort, security and safety of the public was of paramount concern of the NCT. Apart from ensuring the safety of the carnival spectator or visitor, it represented an area of major exposure of the organisation to attacks on its ability to manage the event and the undermining of its credibility. The responsibility of the comfort of the public at the Carnival was deemed to be a shared responsibility with all the other agencies doing that which was within their resources and their capacity. But it was one of the major responsibilities of the NCT.

- (v) A well-structured and cultured carnival management organisation was a requirement necessary for a more constructive, disciplined and responsible approach to the management and facilitation of a Carnival that attracted over a million carnival spectators who appreciated and enjoyed the carnival art forms at the Notting Hill Carnival.
- (vi) In view of the impact of the carnival arts on the cultural life of the people, the Notting Hill Carnival Trust and the carnival disciplines must be adequately funded through public sources to enable effective management of the carnival process, and the presentation and display of innovative, creative and quality carnival art forms to impress and entertain.
- (vii) In the final analysis, the success or failure of the Notting Hill Carnival depended on how much funding from public sources was received by the Notting Hill Carnival Trust and the carnival disciplines. Since funding from public sources was inadequate, uncertain and threatened by the bureaucratic inertia and political tendencies of these funding agencies, it was the strategy of the NCT to raise substantial funds from the private sector to augment the public-sector funds. But, the achievement of this strategy depended on the strategy to develop and maintain an effective carnival management organisation which was highly disciplined, stable, credible and respectable.

Since change has a tendency of creating great disturbance and turbulence in an organisation, it was necessary to view the change initiative as an important risk management strategy. Pascale (1999) highlights the difficulty of gaining order in chaotic, uncertain times. His research explains that living systems are difficult to direct due to a weak understanding of cause and effect linkages and, as such, our best laid efforts to intervene in a system to change it or even to replicate it artificially, almost always miss the mark. The best-laid plans are often perverted through self-interest, misinterpretation, or lack of the necessary skills to reach the intended goal.

In general terms, the conceptual skills utilised by the NCT included good judgement, foresight, initiation, creativity and the ability to find meaning and order in a chaotic and an uncertain carnival environment. Bass (1990) measures conceptual skills and finds strong evidence that this type of ability is related to managerial effectiveness, especially in high-level managerial positions. Therefore, the evaluation of the change strategy was one of the key activities undertaken by the NCT. There was a need for evaluation of the strategy because of the supreme importance of the change to the survival of the Notting Hill Carnival, and the political issues that underpinned the change. Lewin (1968, p.441) says that “if we cannot judge whether an action has led forward or backward, if we have no criteria for evaluating the relation between effort and achievement, there is nothing to prevent us from making the wrong conclusions and to encourage the wrong work habits”.

Many difficulties arose from the need to focus only on the non-financial aspects of the strategy which could not be easily explained and communicated. For example, the evaluation process required a clear definition of the objectives of the strategy; the need to set achievable or realistic targets; the control of stakeholder influences; the provision of tailor-made responses to difficult problems etc. The realisation was that no policy would be effective unless it was carefully communicated, and tactfully guided and co-ordinated by the leadership of the new management team of the NCT. This involved the application of the use of decision procedures which allowed some stakeholders to have some influence over the decisions of the NCT. This refers to participative leadership

which included things like consultation, joint decision making and democratic management.

According to Likert (1967) and Yukl (1971) participative leadership can be regarded as a distinct type of behaviour, although it may be used in conjunction with specific task and relations behaviours. For example, consulting with the carnival disciplines about the need to adhere to the closing down time of the Carnival, involved planning for better carnival schedules and showing concern for the needs of the carnival area residents. The clear definition of the strategy helped the management to communicate its intentions effectively to the varied and multiple stakeholders. Another benefit from the evaluation process was that it assisted and quickened the learning abilities of the new management team. The monitoring and review of strategy was a vital part of the efforts of the management. The team was flexible enough to learn from its mistakes, change assumptions and beliefs if necessary, and also to reshape its mental models. The literature (Argyris, 1991; Dechant,1990) suggests that one of the most important competencies for successful leadership in changing situations is the ability to learn and adapt to change. Thus, the purpose of the evaluation of the change strategy was mainly for management and administrative purposes because of the final outcome of the change process – organisational effectiveness.

The approach to the evaluation was the provision of a systematic basis for assessing the impact of the change on the various stakeholder groups involved with the carnival management organisation. This raised a question of differences

in the purposes of evaluation of the planned change. The purposes of evaluation are described as formative and summative (Scriven, 1967, p.41):

Formative evaluation would provide ongoing, regular feedback during the process of change, to allow for reassessment, adaptation and reformulation of methods.

Summative evaluation would identify and assess the worth of resultant outcomes at the end of the change process, in the light of initially specified criteria.

The level of budget availability and of human resources employed by the NCT defined the limit of the ambitions of the management. But having a firm strategy eased the process of selecting which areas of activity to focus on and which areas to rule out. In order to cultivate and establish a long-term reputation, credibility and benefits in a turbulent carnival environment in which the NCT must continually adapt, the formative evaluation approach was found to be more suitable. Apart from assisting learning inside the NCT, it also enabled a deeper understanding of the change process. According to Gowler and Legge (1979) the model involves the exercise of choice at three levels: value formulation, means identification and effectuation. This model would thus see the function of planning as being to act as a feedback control mechanism. In other words, the planner should monitor the programme in implementation and if slippage is occurring between means and ends, suggest strategies for redirecting it towards intended goals.

The formative mechanism for evaluation of change was instrumental in the successful implementation of the change strategy at the Notting Hill Carnival from 1989 to 2002. The feedback mechanism and the consequent adjustment

emphasised the continuity of the change process and the constant adaptation of objectives in a challenging and turbulent carnival environment. The formative method was suitable for turning around a weak carnival management organisation and managing multiple stakeholders with different attitudes and expectations. The situation required the NCT to view the carnival management organisation in a new way; develop and strengthen carnival relationships; develop and reinforce desirable behaviours; develop better understanding of the internal and external carnival environment. The academic view is that experiencing failure may not result in beneficial learning and change unless a person accepts some responsibility for it, acknowledges personal limitations, and finds ways to overcome them (Kaplan, Kofodimas & Drath, 1987; Kovach, 1989; McCall & Lombardo, 1983).

The change at the Notting Hill Carnival was both a change of management team and a change of management practices. Thus, the change in the organisation involved a process of experimentation and learning to establish the best way forward. The view expressed by Pascale (1999) with regard to risk of strategy failure was very real to the new management team. To reduce or eliminate the risk of failure of the strategy, the NCT assessed the performance outcomes of the strategy in terms of overall organisational effectiveness. The success criteria employed for evaluating the strategic initiatives included assessment of the suitability of the strategy for the carnival environment and the expectations of the key stakeholder. The overall rationale of the strategy was the carnival wealth creation through organisational effectiveness.

The idealistic nature of the vision and the picture of a desirable future of the carnival based on its wealth creation potential through corporate sponsorship were acceptable to the carnival community. The vision provided a vivid image of a better future for the Notting Hill Carnival. The strategy entailed new and different types of activities for its implementation, but the core competencies of the management team were relevant for the requirements. Furthermore, there was no requirement for an additional outlay in terms of financial resources. Thus, the strategy was deemed to be feasible. The employment of the three success criteria of suitability, acceptability and feasibility has been described by Johnson et al. (2014, p.372)

Suitability is concerned with assessing which proposed strategies address the key opportunities and threats an organisation faces through an understanding of the strategic position of an organisation: it is therefore concerned with the overall rationale of a strategy.

Acceptability is concerned with whether the expected performance outcomes of a proposed strategy meet the expectations of stakeholders. These can be of three types, the “3 Rs”: Risk, Return and Reaction. It is sensible to use more than one approach in assessing the acceptability of a strategy.

Feasibility is concerned with whether a strategy could work in practice: in other words, whether an organisation has the capabilities to deliver a strategy. An assessment of feasibility is likely to involve two key questions: (i) do the resources and competencies currently exist to implement a strategy effectively? And (ii) if not, can they be obtained? These questions can be applied to any resource area that has a bearing on the viability of a proposed strategy.”

The use of these three criteria for evaluating the performance outcomes of different strategies can be assessed in terms of both financial and non-financial results. The assessment at the Notting Hill Carnival suggested that the NCT might not be able to meet the key financial obligations necessary for its survival if

the stability and credibility of the organisation did not improve considerably enough to attract a major corporate sponsorship. Therefore, the evaluation of the strategy, unlike a commercial organisation, was focused on the non-financial aspect. The suitability, acceptability and feasibility of the strategy were dependent on the ability and skill of the management team to cultivate the links between the new organisational structure and culture, and nurtured, attractive behaviours of the key carnival environmental drivers – the carnival community. The behaviours were grouped into two distinct categories which were described by Yukl (2002, p.289) as “political or organisational actions” and “people-oriented actions”.

The evaluation of the feasibility of the strategy for accomplishing the change initiative involved an understanding of the carnival political processes and the distribution of power in the carnival environment. But the more important part involved the ability to motivate, support and guide the carnivalists to wholeheartedly accept the proposed strategy. The implementation of the strategy depended on changes in the structure of the carnival management organisation, to make it consistent with the new strategy. Some of the changes involved the way the carnival activities were organised into carnival disciplines; authority and responsibilities; the reporting relationships; carnival prize and reward systems; communication networks; and desirable performance standards. Thus, the political process of the Carnival was factored in the structural changes of the organisation. Beer (1988) proposed that structural changes are unlikely to be effective when they are imposed by top management without participation by the managers who will be affected. He suggested an

analysis of how the work is performed and a recommendation of any structural changes that are necessary to accomplish the new strategy.

11.3.4. Stakeholder Strategy Assessment

The management organisation of the Notting Hill Carnival was subject to a range of stakeholder influences. It was therefore necessary to determine the severity of the impacts of the change initiative for each of the stakeholder groups within the carnival community and other important external stakeholders. Haberberg and Rieple (2000) say that most organisations are subject to a range of stakeholder influences, and the stakeholders shape an organisation's objectives and also the yardsticks that are used to assess its success or failure. Also, different stakeholder groups can be a powerful influence on the extent to which an organisation can change its strategy. Thus, the approach employed for the evaluation process recognised the NCT as comprising a complex network of social and cultural exchange relations. While the act of exchange might be between individuals, we focused upon the stakeholder groups when we analysed the exchange relations within the organisation. The approach was based on four main group concepts which are described as follows:

- (i) **Interest Groups:** defined as a group of people located in a given structure, the social structure of the work organisation; capable of articulating similar ideas, attitudes and beliefs and who have similar interest in respect of particular issues; capable of acting together in a more or less concerted or organised manner with agreed or accepted goals (Dahrendorf, 1959). Examples of interest groups or group stakeholders in the carnival environment were the British Association of Steelbands (BAS) and the London International Carnival Mas Association (LICMA).

- (ii) **Coalitions:** groupings of interest groups who are committed to achieving a common goal based upon the joint action of two or more interest groups (Cyert & March, 1963). Examples were the carnival funding agencies, carnival disciplines and safety groups.
- (iii) **Collective:** being groups of people organised to articulate particular interests, reflect certain attitudes and preferences or establish certain norms which has membership and organisation external to the organisation with which we are directly concerned, for example, trade unions, professional associations, employees' associations (Fox, 1971). An example in the carnival environment was the Performing Rights Society.
- (iv) **Reference Groups:** being the group with which people compare themselves when assessing their own position with regard to financial rewards, job security, working conditions and status. Examples in the carnival environment were the carnival disciplines, carnival street traders, and carnival live stages.

As mentioned above, the main goal of the NCT was organisational effectiveness. But, Huczynski and Buchanan (2013, p.17) say that the term organisational effectiveness is controversial, because different stakeholders have different ideas about what counts as "effective". Thus, the organisational effectiveness of the carnival management organisation could be defined in different ways by its multiple stakeholders whose behaviours were pivotal for the success or failure of the organisation. It was acknowledged then that the behaviour of the key carnival stakeholders had to be congruent with the new strategic direction.

The change of the organisational structure and culture change through the introduction of new techniques or methods would be to no avail unless accompanied by behavioural change that could lead to changes in beliefs and attitudes. This involved the creation of norms which guided behaviour and facilitated interaction of the carnival disciplines by specifying the kinds of

reactions which were expected in given situations. Huczynski and Buchanan (2013) describe “group norm” as an expected mode of behaviour or belief that is established either formally or informally by a group. They also point out that norms are behavioural expectations and they serve to define the nature of the group. We were here concerned with beliefs or norms formed through observation, interaction, participation and communication which involved the organisation and the carnival community, and within the carnival community itself. Within the key carnival stakeholder groups or the carnival community, there were five major distinct stakeholder groups differentiated by their role and artistic impact on the Carnival. These were described as “carnival disciplines” in which the artistic assets and values of the Carnival were anchored, and through which they were displayed or presented for the entertainment of society or the public. The carnival disciplines embodied the various carnival art forms in rhythm and colour. These disciplines were grouped as follows:

London International Carnival Mas Association (LICMA)

British Association of Steelbands (BAS)

Caribbean Music Association (CMA)

British Association of Sound Systems (BASS)

Association of British Calypsonians (ABC)

The organisational review report by Coopers and Lybrand (1988) was silent on a major discussion regarding the group dynamics of these carnival disciplines. But it was notable that their behaviour, attitudes and beliefs were fundamental to the attainment of organisational stability at the Notting Hill Carnival. The fact was

that some of these groups were defined by the importance of their role and place in the structure of the Carnival and to some extent they were following “parallel carnival lives”. Therefore, the development of the cohesion of the carnival disciplines as a group, and the inter-carnival discipline cohesion emerged as an essential policy strategy pursued by the NCT. According to the research findings of Miles and Snow (1978) covering more than 80 US firms, those that were successful over a sustained period of time were those that had managed to link three decisions in a coherent way. These were the marketing decision, the manufacturing decision and the administrative decision. In a similar vein, the Notting Hill Carnival Trust established the linkages between strategy, competent staff, shared values and participative management style. The result of this approach points to the importance of coherence between the different elements of strategy if an organisation is to achieve stability and effectiveness to satisfy the demands of its key stakeholders. With regard to the cohesion of the carnival disciplines, Pearce et al. (2002) have shown that, how cohesive a group is can have a major impact on how it functions and what it achieves.

The strategic thinking of the NCT was that the maintenance of the group dynamics and cohesion of these carnival disciplines or associations would have a positive impact on the effectiveness of the management organisation. Group cohesion is described by Huczynski and Buchanan (2013, p.406) as “the number and strength of mutual positive attitudes between individual group members”. Thus, the more organised and structured the artistic carnival groups, the better the quality and level of their participation in the management of the Notting Hill Carnival. The goal of the NCT was the cultivation and attainment of group

cohesiveness with the view to organisational stability. Factors affecting group cohesiveness which influenced the policies on this issue are described as follows (see Figure 29):

Size:	Smaller groups are more cohesive than larger ones partly because their members interact more frequently
Threats:	An external threat can often (although not always) serve to harden against the enemy
Rewards:	Group rewards can encourage cooperation to achieve the group goal.
Similarities:	Where individuals share common goals and attitudes, they enjoy being in each other's company

Figure 29: Factors affecting group cohesiveness, NCT
Source: Based on Huczynski and Buchanan(2013, pp.405-417)

According to Pearce, Gallagher and Ensley (2002) the cohesiveness of a group can have a major impact on how it functions and what it achieves. This view is illustrated by their table presented below (see Figure 30):

Group cohesion – contributors and consequences

Contributors to group cohesion	Consequences of group cohesion
Small size	
External threat	
Stable membership	Group success
Past success of group	Member satisfaction
Difficulty of entry to group	Productivity high or low
Members sharing common goals	Greater conformity by members
Opportunity to interact with others	Members' evaluations become distorted
Attractiveness of group to individuals	Increased interaction between members
Fairness of rewards between members	Increased group influence over members
Members' agreement about their statuses	More cooperative behaviour between individuals

Figure 30: Group Cohesion
Source: Pearce, Gallagher & Ensley (2002, p.118)

The understanding of the value of Carnival to each of the groups of stakeholders was an essential step in the evaluation of the relationship between the organisation and each group. The degree of attraction that a group had for the organisation and the attraction that the organisation had for a group was very instrumental in the maintenance of organisational discipline. This was because the goals pursued by the carnival groups were quite different from the collective

purpose of the organised activity. This creates an organisational dilemma which is described as how to reconcile inconsistency between individual needs and aspirations on the one hand and the collective purpose of the organisation on the other (Huczynski & Buchanan, 2013). For example, carnival bands trading in the carnival procession caused disruption and delay. This raised the question as to where that fitted in the organisation, because that behaviour was against the policy of the carnival management organisation.

The members of any particular interest group had available to them a repertoire of behaviours which depended upon the given strategic and tactical positions of the various stakeholder groups flowing from those circumstances. We recognised that perceptions of inequality or unfairness that occurred in the change process would be relative and dependent upon judgements against allocation norms and the possibility of compensatory “trade-offs” which allowed the creation of a new “balance”. For example, some masquerade bands held that sound systems were a distraction because they became more attractive to the youthful carnival spectators, and there were also the concerns of the carnival area residents regarding sound systems’ noise levels etc. Therefore, our evaluation was also concerned with the structure of power and control, and the structure of rewards contingent upon the behaviour and performance of the artistic disciplines at the Carnival.

According to Haberberg and Rieple (2000) a firm is successful only if its key stakeholders are happy to keep it in existence. The requirement of these stakeholders may not always be expressed in terms of the straightforward

accounting measures. The owners and shareholders of commercial organisations are looking for financial returns on their investment, measured by indicators like share prices and earnings per share. Different kinds of measures are needed for public sector and not-for-profit organisations. At the Notting Hill Carnival, profits were not relevant but the organisation should live within its financial means, and should be stable, credible and reputable. Thus, it was quite difficult to judge the NCT's effectiveness by normal measures. There were stakeholders who measured the effectiveness of the NCT by its growing balance sheet and money in the bank. Others preferred a situation where all monies were paid out to the carnival bands with little or no financial reserves.

One approach to the evaluation process was the consideration of the quality of membership of the organisation. The quality of membership was linked to organisational effectiveness because one could not talk of the quality of membership without thinking in terms of motivation, behaviour, organisation change, carnival socialisation, carnival management style etc. This is similar to the phrase "quality of working life" as defined by Huczynski and Buchanan (2013, p.17) as an individual's overall assessment of satisfaction with their job, working conditions, pay, colleagues, management style, organisation culture, work life balance, training and development, and career opportunities. They further point out that high motivation and group cohesiveness lead to organisational effectiveness, but good performance can increase motivation and teamwork. The "output" can influence the "inputs". The question is: Can an "effect" influence a "cause"? We are in a position to draw one firm conclusion on the basis of the analysis in the previous section. It is clear from the behaviour of

the membership of the organisation, that the close relationship with the carnival community and the capability of the NCT to meet their needs yielded further organisational success.

11.4. Concluding Comments

This chapter has served to capture the importance of performance measurement as a tool for reinforcing the positive elements and achievements of the change management process of the Notting Hill Carnival Trust. It highlights the potentialities of the structures and systems through the evaluation and measurement process. Through the performance measurement regime, the NCT was able to identify its organisational strengths and weaknesses from time to time, for remedial action to be taken where and when necessary. The strategy implementation required a cybernetic system of control which was a feedback control mechanism for monitoring outputs achieved against desired outputs, and taking whatever corrective action that was necessary.

The NCT produced performance reports which provided feedback information by comparing planned outcomes and actual outcomes. The organisational performance and measurement system also helped to identify key issues requiring organisational control. It was also used to measure how strategy, structure and systems reinforced each other in the context of the organisational configuration of the Notting Hill Carnival Trust. The measurement systems played a vital role in helping to keep the organisation steady. This was a necessity because of the urgent requirement for a carnival organisational

turnaround, in the face of the negative impact of mismanagement by the previous carnival organisation. One important realisation was the accuracy, the timeliness and the constructiveness of the feedback information. The process was facilitated by the analytical procedures and techniques about the meaning of the various patterns of results, which helped the management to analyse and interpret performance feedback.

12. PERSPECTIVES ON EFFECTIVE MANAGEMENT OF RELATIONSHIPS

12.1. Introduction

The effective management of relationships within an organisation is an important requirement for managers, and a major reason and basis for the attainment of organisational effectiveness at the Notting Hill Carnival. This chapter examines the purpose of managing social cohesion or relationships, and the measurement of the effectiveness of the change management initiatives involved. The major purpose of this chapter is to identify typical patterns of activity that are relevant to the management of relationships by highlighting their implications for progress and development, the role of collaborative structures, and their contribution toward organisational stability. Another major purpose is to show how the effectiveness of the carnival management organisation was effected by good interpersonal relationships and the extent to which the carnival community identified with the objectives and values of the organisation. The chapter further describes the extent to which the behaviour of the professional management staff and the members reflects the achievement of the strategic objectives; strong financial performance; enhancement of the artistic assets; and the maintenance of the continued success of the organisation from 1989 to 2002.

12.2. The Purpose of Managing Social Cohesion

12.2.1. Implications for Progress and Development

The preceding section reviewed the findings from the case study using the approaches adopted for the effective management of the Notting Hill Carnival from 1989 to 2002. This section highlights the key component of the critical success factors of the Notting Hill Carnival Trust which is described as the management of social cohesion. This is because the most important part of the change management process involved motivating, supporting and guiding the members of the carnival community to function as an organisational unit. According to Haberberg and Rieple (2000) for an organisation to be able to provide a particular service, it begins to develop as a social structure with the emergence of ways of organising. The people learn how to work together with one another and with the new people they recruit as they grow.

The strategic plan indicated and defined the purpose of the organisation, which became the driving force to unite the carnival community behind the organisation to achieve the shared vision. It is a fact in nature that every combination of individuals or forces in this world has to have a purpose for its action or existence. Without a purpose an organisation would be just a meaningless, aimless and functionless collection of objects brought together haphazardly. It is also necessary that this purpose must be external to that combination or organisation, as the case may be. One of the fifteen competencies of change agents highlighted by Buchanan and Boddy (1992) is concerned with sensitivity to changes in personnel, top management perceptions and market conditions, and how these impact the goals of the project in hand. They emphasise clarity in

specifying goals and defining the achievable; and flexibility in responding to change outside the control of the project manager. They call this “goal cluster”. Thus, the management organisation of the Notting Hill Carnival would be an aimless collection of individuals if it did not have the purpose of co-ordinating the activities of the Carnival and to ensure the comfort and welfare of the people attending as well as that of the artistic participants.

The concept of social cohesion has a pre-eminent role in many organisations, including governments. Although one may not gather this directly from what has been said before, no progress of any kind is possible without stability which results from effective management of social cohesion. In other words, progress means that we have to overcome the natural inertia of the unsatisfactory conditions in the individual and in society. It is argued by Ratcliffe and Newman (2011) that “cohesion” in the sense of a stable society, is clearly a sine qua non for most contemporary societies. Strictly speaking, we should characterise cohesion as an aspiration. It would be difficult to conceive of a society devoid of internal conflicts and tensions: cohesion should therefore be viewed as a relative rather than an absolute state. The key point here is that the policies designed to achieve cohesion at the Notting Hill Carnival relied on developing positive relations between the organisation and the key stakeholders. Therefore, changing of behaviour and attitudes was central to the expected change.

Haberberg and Rieple (2000) say that beliefs form through observation, interaction, participation and communication. Applying these concepts in practice can change the beliefs and attitudes of members of an organisation. Also,

although culture change is not easily achieved through introducing new techniques or methods, some behavioural change can lead to change in beliefs and attitudes. Training in new skills, for example, is likely to change people's beliefs about their own capabilities. By strongly reinforcing the success of the NCT which had led to opportunities for expansion and the offer of other projects like the Carnival Roadshow and the Carnival Arts Development Initiative, the balance was maintained on the side of consent and support for the organisation. This included the use of information to maintain momentum and the strategic focus throughout the change process.

This was a useful approach because of the necessity to augment the change driving forces or to decrease the small but loud restraining or resisting forces in the carnival environment. This approach reflects the force-field analysis developed by Lewin (1951). This holds that an issue is held in balance by the interaction of two opposing sets of forces: those seeking to promote change (driving forces) and those attempting to maintain the status quo (restraining or resisting forces). Lewin confirmed the relative nature of social cohesion when he observed that in many human situations an increase in one force (to promote change), creates a reaction in other forces seeking to maintain the current equilibrium. He used the term "homeostasis" for this tendency of systems to maintain their current state. Lewin developed the following diagram in which the "current state" is being maintained by a range of driving and restraining (resisting) forces. The desired "end state" of a change process is to the right of the diagram, with all the driving forces pushing that way currently being balanced by restraining forces (see Figure 31).

Force field analysis (after Lewin, 1951)

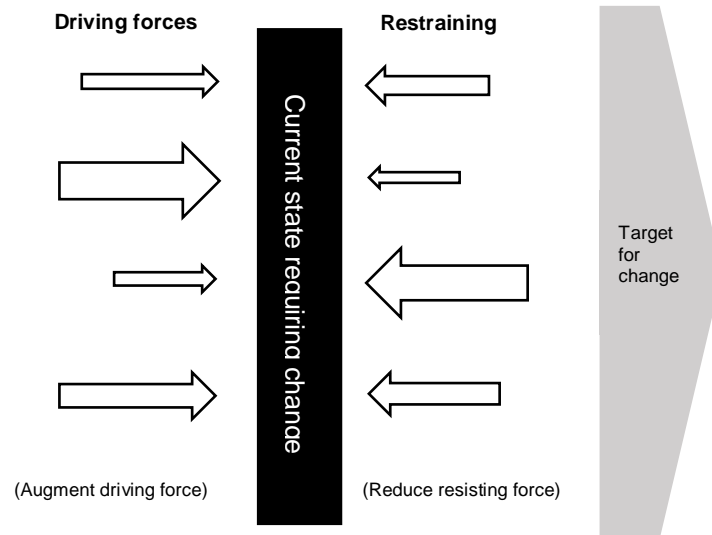


Figure 31: Force Field Analysis Model after Lewin 1951
Source: Haberberg & Rieple (2000, p.540)

It is noted that organisational effectiveness can be defined in different ways. For the commercial or business organisations, effectiveness is usually defined or determined by “profit”. The organisational effectiveness of the Notting Hill Carnival Trust was however, determined by a range of quantitative and qualitative performance measures such as stakeholder satisfaction, internal management efficiencies, number of carnival area residents’ concerns etc. But, consideration of the environment of the carnival management organisation suggested that the most important measure of organisational effectiveness in this respect was organisational stability to be achieved through social cohesion. Kenworthy and McMullan (2013) have observed that the level of professionalism shown by managers, directors and administrators is not the only determinant of organisational performance and viability. A variety of institutional, cultural,

macro-economic and other mechanisms and conditions also affects organisational viability and performance. There are those factors and variables that managers and their stakeholders can to a large extent influence, if not control.

The word “stability” is defined by the Chambers Dictionary as “the state or quality of being stable”, with the word stable defined as “firmly balanced or fixed; not likely to wobble or fall over or firmly established not likely to be abolished, overthrown or destroyed”. For an example, the dictionary hints at a stable government to mean a government under control, not erratic or changing. In other words, it is long-standing and committed and not likely to behave in an unpredictable manner. The Latin origin of the word is “stabilis”, from “stare”, meaning to stand. As outlined above by Lewin (1951), the maintenance of equilibrium or balance in the system or the organisation is an important measure of progress and development.

Therefore, the maintenance of the stability of the organisation through the energising and mobilisation of the carnival community, was considered to be a key success factor. Because in such a competitive, turbulent and hostile environment, survival depended largely on the development and maintenance of a stable carnival environment. This was achieved through the cultivation of the pride, confidence and capacity of the carnival community to adapt to the various phases of the change process. Lewin (1951) in his force-field model, proposed that the change process can be divided into three phases: “unfreezing”, “changing”, and “refreezing”. In the “unfreezing” phase, the carnival community

realised that the old ways of the CDC and CAC were no longer appropriate or adequate. It was recognised that the negative inter-locking nature of the social systems of the carnival environment created tremendous inertia which had to be overcome through the effective management of relationships in the organisation. Managing relationships in the carnival organisation was no different from that of other organisations in that it would work better if it was governed by clear, practical or workable policies.

Haberberg and Rieple (2000) have pointed out that one of the pitfalls that managers often fall into when beginning to think about what a firm should do is to make proposals that seem like good ideas at first sight, but that are not linked to the particular problems that the organisation is confronting. Anyone carrying out an analysis needs a clear idea of which of the many issues that the company is facing are the most important. Only then can possible salutations be identified. The ability to energise and mobilise the carnival community was achieved by seeking their opinions on the change and its outcomes, listening to their needs and concerns, and stimulating their interests and desires in the direction of the change initiative, on account of the expected benefits.

Management of social cohesion is about regulating the relations between an individual and his fellow men in a given organisation. This must be supported and protected by precepts, rules and law which must also be rationally explained by common sense and philosophy. But each organisation must determine that policy for itself, in the light of its own circumstances and goals. Our first move at the Notting Hill Carnival was to establish what the management of relationships

or social cohesion might do to help achieve or realise the strategic objectives of the NCT. Yukl (2002) has described the relations oriented approach to management as the behaviour which is primarily concerned with improving relationships and helping people; increasing co-operation and teamwork; increasing subordinate job satisfaction; and building identification with the organisation.

It was also recognised that knowing what to do and what not to do was extremely important in order to avoid waste of resources or efforts; and that consistency in pursuing a well deliberated or crafted policy was better than chopping and changing. Policies were written down and communicated to all, to maintain momentum and to overcome inertia. Apart from Lewin's model of "unfreezing", others argue that inertia to change must be overcome by "creating a sense of urgency" (Kotter, 1996, p.35). They emphasise the fact that the power of habit in individuals create inertia to change and also that new habits which are the goals, are energy-consuming to develop. At the bottom of all these arguments, the factor of stability looms.

12.2.2. Requirement for Collaborative Structures

Within the carnival management organisation, one could distinguish two classes of units participating in the organisation. The general term given to such relationships is organisational architecture, which is defined by Huczynski and Buchanan (2013) as the framework of linked internal and external elements that an organisation creates and uses to achieve the goals specified in its vision

statement. Thus, it does not only include the internal arrangements that a firm makes to deploy its various business processes, but also considers how these may be linked with those of outsiders who come together with the firm to form a temporary system for their mutual benefit. This section focuses on the internal structural arrangements and the external linkages with the key carnival artistic participants.

First, there was the staff employees who contributed indirectly to the staging of the Notting Hill Carnival. The individuals of this category occupied advisory positions and used their specialised expertise to support the efforts of the artistic performers at the Carnival. These staff employees worked in the functions of Administration, Operations, Accounting and Finance, and PR and Marketing. These were considered as the bulwarks of the carnival organisational functions. The other units of the carnival organisation were the artistic participants who contributed directly to the staging of the Carnival. These were the masqueraders, the pan players, the calypsonians, and the soca and sound system DJs. The term “contribute directly” refers to their direct involvement in the staging of the Carnival, and not to direct involvement in the management of the carnival process. These artistic participants were represented on the Board of the NCT through their relevant carnival disciplines or associations. It is noted that within any organisation structure, individuals occupying different positions will have different relationships with one another.

These relationships can be labelled line, staff and functional. The staff employees of the carnival management organisation performed their tasks

through the line-and-staff structure. The difficulty was about the role of the artistic disciplines and their relationship to the carnival management organisation and to the carnival itself. According to Huczynski and Buchanan (2013) organisation design refers to senior management's process of choosing and implementing a structural configuration through which their organisations seek to accomplish their goals. Whittington, Mayer and Smith (2002) also note that business is too big and too complex to allow an inappropriate organisation structure to interfere with creating shareholder value and ensuring long-term company survival. The NCT was under pressure to design a structure that balanced the internal pressures of the Carnival and the external demands of the statutory stakeholders, in order to make the carnival management organisation effective, efficient and stable. Consequently, answers to the question of "who did what" extended beyond the boundary of the organisation to encompass the Arts Council, The Royal Borough of Kensington and Chelsea, the Metropolitan Police Service, the Greater London Authority, as well as other communities of interest.

To understand the role of the artistic disciplines and the role of the staff employees in the carnival management organisation, we have to examine the nature of the relationships between the two. For this purpose, we shall consider the concepts of "authority", "responsibility", and "accountability" in the context of the management structure of the NCT. Huczynski and Buchanan (2013, pp.795-809) define these three concepts as follows:

Authority: The right to guide or direct the actions of others and extract from them responses that are appropriate to the attainment of an organisation's goals.

Responsibility: The obligation placed in a person who occupies a certain position in the organisation structure to perform a task, function, or assignment.

Accountability: The obligation of a subordinate to report back on their discharge of the duties for which they are responsible.

The assumption is that one cannot be held accountable for an action unless one is first given the authority to do it. Also, authority is vested in organisational positions, not in the individuals who occupy them. The constitution of the NCT was such that authority flew down from the Board of Trustees along the formal chain of command. The nature of the relationship between the management organisation and the artistic performers at the Notting Hill Carnival was such that a policy of collaboration became a necessity. The Chambers dictionary states that “to collaborate is to work together with another or others on something”. Mayfield (2015, p.206) says that “collaboration within the team and with key stakeholders remains one of the most enduring themes of all successful strategies. The degree to which a change leader can recruit stakeholders to help with and model the change, the most likely they are to see the change succeed”.

The effectiveness of the carnival management organisation depended largely on the relationships between the organisation and the carnival disciplines. Thus, the organisational architecture of the NCT did not only include the internal arrangements that a firm makes to deploy its various processes, but also considered how the organisation must link with those carnival disciplines who came together with the NCT to form a system for the purpose of staging the Notting Hill Carnival. Thus, the organisational structure was a way of institutionalising and managing stability through effective collaboration with the

carnival disciplines and the various agencies whose functions impacted on the Carnival. In other words, the structure of the organisation enabled the NCT to co-ordinate the activities of the carnival disciplines in order to maximise their artistic skills and capabilities. As noted by Haberberg and Rieple (2000) the design of an organisation is a key factor in the development of strategy, and that two of the main concerns of organisation design are to achieve an appropriate balance between two pairs of factors: uniformity and diversity, and centralisation and decentralisation.

One could view the NCT as a self-contained organisation with clear boundaries between itself and the artistic participants. The aim was to transform the artistic inputs from the artistic participants into a glorious carnival art form on a large scale, to be viewed by the public. The NCT met the co-ordination requirements for the transformation process internally. Thus, the organisation had to adapt to environmental conditions by maximising control through reporting relations in which the carnival disciplines appeared like “departments” of the NCT. Anand and Daft (2007, p.335) list the underlying design principles of a self-contained organisation structure as:

- (i) Grouping people into function or departments;
- (ii) Establishing reporting relationships between people and departments;
- (iii) Providing systems to co-ordinate and integrate activities both horizontally and vertically.

The academic literature state that a department designates a distinct area or branch of an organisation over which a manager has authority for the

performance of specified activities. Huczynski and Buchanan (2013, p.576) state that “departmentalisation is the process of grouping together activities and employees who share a common supervisor and resources, who are jointly responsible for performance and who tend to identify and collaborate with each other”. At the Notting Hill Carnival, the carnival disciplines might look like departments but the members were not employees of the NCT. Hence the necessity for the adoption of the collaborative relationship structure in order to become more effective. Huczynski and Buchanan (2013) say that a collaborative relationship structure is a structure that involves a relationship between two or more organisations, sharing their ideas, knowledge, staff, and technology for mutual benefit.

The organisation design used the relationships framework to allow the carnival disciplines to behave as a network of separate entities and to present themselves as a single entity to the outside world. Thus, the NCT behaved like an organism which encouraged better integration and collaboration among the five key carnival disciplines and with the NCT itself. This approach facilitated the free exchange of ideas and information with the aim of becoming flexible and adaptive to accommodate uncertainty and to respond rapidly to change. The strategic relationships between the NCT and the carnival disciplines may be described as a “boundaryless organisational structure”. This is said to be the term coined by the former Chief Executive of General Electric, Jack Welch, who wanted to eliminate barriers inside his company. He also sought to break down barriers outside, between his company and its customers, suppliers and other stakeholders (Ashkenas et al., 2002).

This concept views firms as possessing permeable boundaries, both internally and externally. The approach is said to have been facilitated by the opportunities created by improved communication technology, as well as by management acceptance that an organisation cannot efficiently perform alone all the tasks required to make a product or offer a service. The view of the NCT was that the more organised and structured the affiliated associations were, the better the quality and level of their participation in the management of the Notting Hill Carnival. Thus, there was the need for the carnival disciplines or associations to become integrated within a broader social, economic and cultural climate. In order to achieve or realise these inherent opportunities, the NCT operated a type of collaborative relationship structure in which the carnival disciplines maintained their autonomous status but had to yield to directives from the carnival management organisation.

The NCT adopted this organisational development approach because most of the organisational problems of the Carnival were due to conflict caused by poor communication and lack of understanding of the issues plaguing the organisation. The approach aimed to improve both the organisational effectiveness and the individual capabilities and performance, by changing their social interactions and behaviours. As noted by Huczynski and Buchanan (2013) organisational development is the systematic use of applied behavioural science principles and practices to increase individual and organisational effectiveness.

It is argued that organisational structuring involves the translation of company policy into practices. Duties and functions are allocated as specific tasks to individuals and groups, but these individuals and groups can be located outside the company. At the Notting Hill Carnival, the carnival disciplines whose functions were necessary for the very life of the Carnival are also outside the organisation. Hence the concept boundaryless organisation seemed applicable as well as that of collaborative structure. These are defined by Huczynski and Buchanan (2013, p.583), as follows:

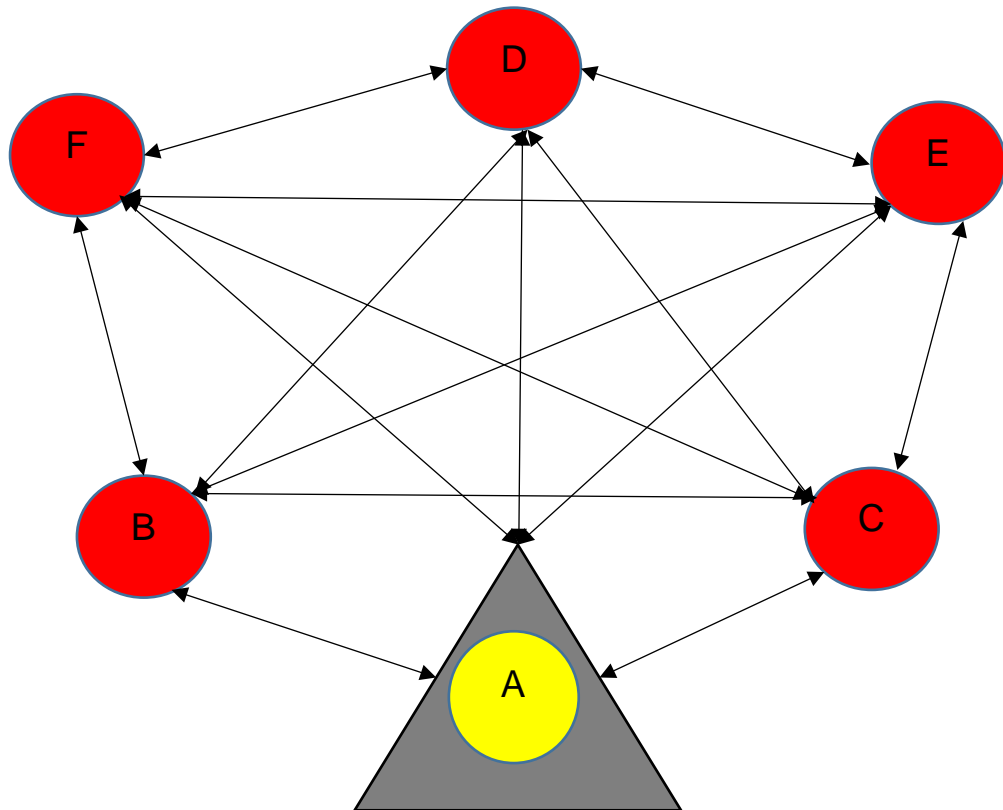
Boundaryless organisation is an organisation possessing permeable internal and external boundaries which give it flexibility and thus the ability to respond to change rapidly.

Collaborative relationship structure is a structure that involves a relationship between two or more organisations, sharing their ideas, knowledge, staff and technology for mutual benefit.

Schilling and Steensma (2001) say that adopting this type of organisational design involves establishing collaborative relationships with suppliers, competitors, customers, third parties and participants in online communities. Increasingly, we are seeing examples of loosely inter-connected assemblages of companies operating different types of “collaborative relationship structures”. At the Notting Hill Carnival, we found the “collaboration with suppliers” model more appropriate or suitable because the carnival disciplines were deemed to be autonomous entities who supplied artistic materials for the staging of the Carnival. It was realised that the carnival disciplines possessed the technical knowledge and the artistic ideas required for the innovation and improvement of the carnival art forms. There was a necessity for a change in perception away from the carnival disciplines competing among themselves for prominence, dominance and sponsorship. Thus, the creation of cross-discipline relationships with one another and collaborative organisational relationships with them, was pursued. Witzel (2007, cited in Huczynski and Buchanan, 2013, p.592) noted that “Whereas collaboration used to be a matter of integrating organisations, now it is increasingly seen as a matter of integrating activities”. In other words, tasks

are carried out by the person or organisation that is most suited to the specific issue. The following diagram closely depicts the collaborative relationship structure of the Notting Hill Carnival (see Figure 32).

Collaborative Relationship Structure of NCT



- A: NOTTING HILL CARNIVAL TRUST (NCT)
- B: London International Costume and Masquerade Association (LICMA)
- C: British Association of Steelbands (BAS)
- D: Caribbean Music Association (CIMA)
- E: Association of British Calypsonians (ABC)
- F: British Association of Sound Systems (BASS)

Figure 32: Collaborative Structure of NCT
Source: Author's design

12.2.3. Contribution Toward Organisational Stability

The effectiveness of the organisational performance of the NCT depended, in the main, on the behaviour and attitudes of its members. Huczynski and Buchanan (2013) say that the term organisational effectiveness is controversial, because different stakeholders have different ideas about what counts as “effective”. Haberberg and Rieple (2000) also say that stakeholders shape an organisation’s objectives and also the yardsticks that are used to assess its success or failure. Also, different stakeholder groups can change its strategy. All the academic literature on strategy is based on commercial organisations whose effectiveness are measured in financial terms on the basis of: (a) Increasing outputs with constant or decreasing inputs; or (b) Constant outputs with decreasing inputs; and (c), Is able to accomplish this in such a way that it can continue to do so.

Unlike a commercial or business organisation, the organisational effectiveness of the NCT was measured by the effectiveness of the pattern of inter-relationships among the elements of the organisation and between the organisation and those elements. Georgopoulos, Mahoney and Jones (1957) have taken a similar point of view. They have defined effectiveness in terms of the goal as well as the path to reach the goal. The approach adopted by the NCT was one of effective management of relationships with the view to achieve organisational stability. To get others to do what we want is a matter of power and influence. However, at the Notting Hill Carnival, it was the use of influence tactics that persuaded the

carnival community to support the change programme. Huczynski and Buchanan (2013, p.773) define influence as:

One person's ability to affect another's attitude, beliefs, or behaviours. Influence can be achieved without force or "pulling rank". When this is successful, the person who is influenced often believes that they have not been pressured or forced into doing something, but that they are acting in their own best interests.

However, Pfeffer (2010, p.87) argues that to make things happen in an organisation, you need to have power, which he defines as "the ability to have things your way". But, at the Notting Hill Carnival, the adoption of the approaches through influence, resonated in effective communication, commitment, compliance, acceptance or resistance. As noted earlier, the aim of the communication process was to share information to enable the exchange of ideas, and to influence the behaviour or actions of the members of the key stakeholder group. Sidhu (2015, p.210) says that:

Communication and engagement are at the heart of any successful change initiative. Thorough plans for implementing change may well be in place, but ultimately it is the people impacted by change who need to be prepared to accept it and adopt new ways of doing things. If they have not received sufficient communications or had opportunities to be actively engaged in the process, there will be much greater resistance and change will not occur.

For the effectiveness of the NCT, it was necessary to influence members of the carnival community to carry out requests, to support the proposals for the change initiative, and to implement decisions required to put things right. To understand what made the NCT effective means we have to analyse the complex web of relationships within the carnival management organisation and the influence processes or tactics employed. As explained earlier, the carnival

disciplines and their supporters were independent and autonomous units whose artistic and technical expertise were required for the ultimate staging of the Notting Hill Carnival. As the carnival's co-ordinating organisation, the new NCT required the commitment of the carnival disciplines for the effective discharge or handling of that responsibility. The NCT was aware of the importance of the need to motivate and engage the carnival disciplines whose contributions were a major factor in the achievement of organisational effectiveness. The relationship with the carnival disciplines was based on trust, respect, commitment and the avoidance of confrontation through the employment of participative management approach. These organisational development values have been outlined by Robbins and Judge (2008) as follows:

Respect: individuals should be treated with dignity and respect;

Trust: the healthy organisation is characterised by trust, authenticity, and openness;

Power equalization: effective organisations do not emphasise hierarchical control;

Confrontation: problems should not be hidden; they should be openly confronted;

Participation: those who are affected by change will be more committed to its success when they are involved in the decisions.

The term commitment is described as “an outcome in which the target person internally agrees with a decision or request from the agent, and makes a great effort to carry out the request or implement the decision effectively”. For example, for the controversial issue of carnival closing down time, the commitment of the carnival bands to adhere to the agreed time was usually a successful outcome from the perspective of the NCT. Additionally, the NCT

developed the capacity to influence the attitudes and behaviour of the members of the carnival community in the required direction. A mix of different types of influence tactics were employed to persuade the community to do what was required by the NCT, sometimes against their judgemental preferences.

Kipnis et al. (1980, p.451) identify eight dimensions of influence tactics: assertiveness, ingratiation, rational appeal, sanctions, exchange, upward appeal, blocking and coalition. But more importantly, Kipnis et al. note that managers do not exercise influence for self-interest and enjoyment, but in order to promote new ideas, encourage others to work more effectively, or introduce new working practices. In this regard, it is worth noting that the NCT maintained strong influence over the carnival stakeholders for the achievement of the organisational objectives, but the NCT also listened carefully to the concerns, fears and needs of the community and openly and honestly responded to them. For example, when a situation of “ambush marketing” occurred at the Carnival to undermine a title sponsor, the NCT resolved the issue by listening to the concerns of the offending carnival band and providing an amicable or equitable solution. The studies of Bachman, Smith and Slesinger (1966) show that leaders in effective organisations create relationships in which they have strong influence over subordinates but are also receptive to influence from them.

It was also found that commitment from the carnival community was an unlikely outcome without favourable or desirable conditions. The confidence of the carnival community was increased by their experience of the successful progress made by the NCT in the early stages of the change initiative. Kouzes

and Posner (1995) recommend breaking up a challenging task into initial small steps or short-term goals that do not appear too difficult. People are more willing to undertake an activity if they perceive that their efforts are likely to be successful and that the costs of failure would not be great. As the initial steps or goals are accomplished, people experience success and gain more self-confidence. Also, the tactics selected for an influence attempt, and the sequence in which they were applied by the NCT, depended on the circumstances of the situation. The choice of tactics was somewhat different depending on whether the target was an antagonist or a chronic trouble-maker. Some of the influence tactics employed which had direct effect on the behavioural attitudes of the members of the key stakeholders at the Notting Hill Carnival are listed as follows:

- (i) The use of discretionary control over the distribution of hand-outs or freebies from the sponsorship process.
- (ii) The promotion of appropriate space for the meetings of the disciplines and social contacts;
- (iii) The administrative assistance given to the carnival bands in the management of their relationships with Arts Council England;
- (iv) The provision of a comfortable and respectable environment for the Annual General Meetings of the members;
- (v) The provision of substantive rewards in terms of carnival prize monies and carnival appearance fees;
- (vi) By including antagonists in “away-day” conferences and seminars where they were treated with kindness and respect;

- (vii) By maintaining persistent effort to wear down the opposition and to make important relationships work;
- (viii) The employment of the power of intermittent reinforcement through the selection of carnival bands to participate in the lucrative carnival roadshows.

The psychological explanation for the influence of the above tactics in behaviour and attitude change involved the motives and perceptions of the carnival stakeholders and the context in which the activities or the interaction occurred. The academic literature has identified three types of influence processes which are proposed by Kelman (1958, p.58). These three types are called “instrumental compliance”, “internationalisation” and “personal identification”. Kelman notes that the influence processes are qualitatively different from each other, but more than one process may occur at the same time. For example, when a carnival band decided not to trade in the carnival procession as proposed by the NCT, it was because the carnival band identified with the management organisation and believed in the policy. It also expected to gain substantial benefits from supporting that policy of the NCT.

The compelling vision for a better future was attractive enough to silence opponents who had problems with the change initiative and challenged it. The leadership of the NCT articulated the appealing vision with such confidence, courage and conviction that the carnival community strongly identified itself with the organisation. According to Ashford and Mael (1989) when there is strong social identification, people take pride in being part of the group or organisation and regard membership as one of their most important social identities. They see how their efforts and work roles are related to a larger entity, making their

work more meaningful and important. Also, social identification results in strengthening of shared values, beliefs and behaviour norms among members of the group. Thus, the influence attempt of the NCT found expression in the three major outcomes of acceptance, compliance or resistance. Acceptance meant that the carnival community agreed to the agenda that was carried out by the organisation wholeheartedly. Thus, there was a change in both the behaviour and attitude of some key stakeholders. The term compliance described an outcome in which some members of the key stakeholders were willing to carry out what was requested of them, but were not enthusiastic about it. For example, when the NCT had to change the venue of the Calypso Monarch Competition 1998, the members reluctantly agreed to the decision and did take part in the competition even though at the new venue. The NCT might have influenced the behaviour of the calypsonians, but not their attitude. They were not convinced that the decision was the appropriate one.

Resistance on the other hand involved a rejection of the request, and neither behaviour nor attitude change in this situation. There were examples of some members of the carnival community who were continually opposed to the change initiative and who actively tried to avoid carrying out any proposal from the NCT. Some of them responded by asking higher authorities like the local authority to intervene to halt the change process. But, their motives were disingenuous because they identified themselves with the old management organisation and yet still preferred to be in charge of the new management organisation. It was the policy of the NCT that people at the top must not be mixed in the history of past organisations.

Senge et al. (1999) say that the practice of organisational learning involves developing tangible activities; new governing ideas, innovations in infrastructure, and new management methods and tools for changing the way people conduct their work. Given the opportunity to take part in these new activities, people will develop an enduring capability for change. The process will pay back the organisation with far greater levels of diversity, commitment, innovation and talent.

Thus, it is apparent that the success of an influence attempt at judging behaviour and attitude change at the Notting Hill Carnival was clearly a matter of degree. In the main, the NCT achieved the intended effect in establishing a stable management organisation, but the effect was less than was intended. In other words, the outcome was not absolute. The three qualitative outcomes of influence attempts are differentiated by Huczynski and Buchanan (2013, p.775) as follows:

- (i) **Acceptance:** Agreeing with and becoming committed to an influence request both attitudinally and behaviourally.
- (ii) **Compliance:** Reluctant, superficial, public, and transitory change in behaviour in response to an influencing request, which is not accompanied by attitudinal change.
- (iii) **Resistance:** Rejecting an influencing request by means of a direct refusal, making excuses, stalling or making an argument against, indicating neither behavioural nor attitudinal change.

It is very important to emphasise that the success of influence attempts by the NCT was driven by a number of tactics which included commitment, persuasion, consultation, inspiration, collaboration, reciprocity, social proof, consistency and scarcity. Yukl (2005, cited in Huczynski & Buchanan, 2013, p.775) reviewed

numerous studies of how people influence their managers, co-workers and subordinates, and assessed the effectiveness of tactics. Some of his results are outlined in the following tables (see Figures 33 & 34):

Influencing Tactics – Most Effective

Tactic	Description	Examples
Rational persuasion	Present factual evidence and logical argument to support your request, making a challenge difficult.	“As you can see from the cost comparison the second tender is 20% lower, and competition is earlier”.
Consultation	Allow the target to decide how to implement your request.	“I need you to work 20 hours of overtime in the next month, but you decide when”.
Inspirational appeal	Appeal to the target’s values, ideals, or aspirations to elicit an emotional or attitudinal reaction.	“It’s not about extra hours without overtime pay, it’s about improving the health of the nation”.
Collaboration	Make it easy for the target to agree to your request by providing resources or removing barriers.	“If you agree to lead the team, I’ll give you administrative support and reallocate your other tasks”.

Figure 33: Influencing Tactics – Most Effective
Source: Huczynski and Buchanan (2013, p.775)

Influencing Tactics – Least Effective

Tactic	Description	Examples
Pressure	Make strident verbal statements and regularly remind the target of your request	“As I said yesterday, it’s vital that your presentation tomorrow is of the highest standard”.
Coalitions	Mobilise others to support you and thereby strengthen your request.	“Claire and Peter are also affected and that’s why we would like you to change too”.
Upward appeals	Seek assistance from someone senior for your target, either through the use of their authority or as mediator.	“Since I can’t persuade you, let’s meet with our boss to see what they think about this”.
Legitimizing	Base a request on your own authority, organisation rules, or the express/implied support of superiors.	“As project lead, I’m asking you to postpone your holiday until the job is done, which is company policy”.

Figure 34: Influencing Tactics – Least Effective
Source: Huczynski and Buchanan (2013, p.775)

12.3. Measurement of Change Effectiveness

12.3.1. Achievement of Strategic Objectives

This research was undertaken in order to establish an image of the Notting Hill Carnival which will inform the public about its artistic, cultural and economic importance in London and the United Kingdom at large. The widespread

fascination with the Notting Hill Carnival may be because of its cultural impact on the life of the people. In order to understand why so many people flock to experience the Notting Hill Carnival, we need to understand the cultural implications of the Carnival. In the United Kingdom, the central government, local government and some public agencies appear to have a duty to support the cultural life of the country by granting public subsidy for the arts. The word culture is defined as the customs, ideas, values of a particular civilisation, society or social group, especially at a particular time. This includes appreciation of art, music, literature etc. The Notting Hill Carnival is thus a union of cultural diversity.

The management policies of the NCT demonstrated the role of the Carnival as a vehicle for nurturing and sustaining the cultural life of the people. They were concerned with the effective direction of the behaviour of the carnival management organisation. This organisational behaviour was one of the main forces that affected the millions of people who attended the Carnival and those who participated in it, as well as the residents of the carnival area. Huczynski and Buchanan (2013) define organisational behaviour as the study of the structure and management of organisations, their environment and the actions and interactions of their individual members and groups. Heath and Sitkin (2001) also say that organisational behaviour covers environment (macro) issues and group and individual (micro) factors. In this regard, the NCT created a single and shared vision for the support, enhancement and improvement in the carnival art forms. Thus, the roles and responsibilities of the various carnival disciplines or associations were formalised and concretised in their participation in the Carnival as well as in the carnival management organisation. This greatly facilitated their

artistic and cultural expressions through an unparalleled innovation in form and content.

The artistic and cultural importance of the Notting Hill Carnival suggested that its organisational framework must aspire for similar importance in order to inspire the confidence of the public and the millions of carnival audience. As a major arts festival, the importance of the Notting Hill Carnival was highly recognised when people in authority and academics emphasised the role of arts festivals in the cultural life of the country. For example, Prime Minister John Major, proposed the staging of a national arts festival during his period of presidency of the European Council of Ministers. Arts Council England also sought to promote the idea of a year-long festival under its Arts 2000 Scheme, and the former Arts Minister, Timothy Renton, formed a partnership with Mick Jagger to promote National Music Day on 28 June 1992 (Rolfe, 1992). These initiatives emphasised the importance and capacity of arts festivals to play major roles in the cultural life of the country. By these measurements, NCT felt that it would be very unwise to take the Notting Hill Carnival for granted or toy with its significance as one of the major and leading arts festivals in the country.

Apart from the artistic and cultural implications of the Notting Hill Carnival, there was also the issue of its considerable economic value. The 2003 report of the London Development Agency, calculated the income impact for Carnival 2002 at £80 million to £105 million. According to Rolfe (1992) the economic impact of arts festivals has a number of aspects:

The arts are a source of direct employment and a generator of growth in ancillary industries; audiences for festivals increase the demand for retail, catering and accommodation and transport services and are a particular stimulus to the tourist and leisure industry (Myerscough et al., 1988, p.35).

It is also emphasised that festivals can assist in promoting economic regeneration by adding to the social vitality and attractiveness of a region and boosting the pride and self-confidence of its people. On account of the importance of the Notting Hill Carnival in the cultural life of the people, the NCT laid out a blueprint for reform that amounted to a radical redesign of the carnival management organisation. According to Haberberg and Rieple (2000) decisions to design an organisation that is centralised or decentralised, tall or flat, flexible or more rigid, with more or less formal policies and procedures, are essentially umbrella decisions about how an organisation's strategy is to be achieved. One reason was that without public confidence in the management organisation the artistic, cultural and economic importance or value of the Carnival would come to no avail. The organisational design or structure was a platform to promote and support the artistic, cultural and economic integrity of the Carnival. The new organisational structure enabled a responsible and constructive approach to the facilitation of the annual Notting Hill Carnival.

The organisation was designed to fulfil the purpose of co-ordinating the activities of the Carnival and to create and maintain a comfortable and secured environment for the carnival audience and participants. The NCT studied and learned about the conditions and patterns in its environment and developed solutions to particular administrative and operational problems. Thus, the organisation developed ways of coping or dealing with situations that occurred

often internally, and learned about problems in the carnival environment. NCT learned about the various pre-carnival activities, their spread and the strength of their support, and about the music tastes of the youth at the Carnival to aid the planning process. Nelson and Winter (1982, p.14) call these “routines”, a term which covers a wide range of behaviours by both individuals and groups within the organisation. The culture of the NCT favoured learning and accumulation of practical and relevant knowledge to underpin the management process as the environment changed. According to Haberberg and Rieple (2007, p.22) “learning is not automatic. Some organisations learn only how to deal with a particular set of customers at a particular point in time, and then stop. This leaves them very vulnerable when the environment changes”.

The successful opportunity of the NCT to exert strong influence on the performance of the organisation depended largely on the knowledge of the management regarding all the major issues facing the organisation. This knowledge found expression or manifestation in some key areas which included:

- (i) Credibility, stability and continuity of management
- (ii) Harmonious relationships with the key stakeholders
- (iii) Effective reporting and communication system
- (iv) Effective financial management and control

Thus, through the commitment and knowledge of the Board of Trustees and the management staff, the reorientation and the establishment of a formidable carnival management organisation was realised between the period 1989 to 2002. Tushman and Romanelli (1985, p.173) formulated a “punctuated

equilibrium model” to describe how organisations evolve over time and the role of top executives in the evolutionary process. The evolution of an organisation was described in terms of “alternating periods of reorientation and convergence that typically occur over the lifetime of an organisation”. The re-orientation of the carnival management organisation, as stated before, was triggered by the performance decline of the previous management organisation. Thus, the change necessarily involved change in the distribution of power, re-structuring of the carnival disciplines and reporting relationships, as evidenced by the design of the collaborative relationship structure. The success of the NCT was achieved by the knowledge that the re-orientation required significant change in strategy, structure, processes, but more importantly in people at the top of the organisation. Tushman et al. (1986) found that reorientation was initiated by the incumbent CEO in only 15 per cent of the 40 companies they studied, and in each of these six cases the CEO replaced some of the executive team with new people who had different skills and a fresh perspective. Thus, most reorientations were initiated by new leadership, and the new CEO was often an outside successor with a mandate for change.

For the maintenance of the organisational effectiveness of the NCT, a great deal of emphasis was placed on its ability to anticipate changes within the carnival environment and to make sure that its resources were appropriately adapted and utilised. This approach is emphasised by Yukl (2000) when he writes that a major shift in strategy will cause ripples of change, throughout the organisation. Changes will be necessary in the distribution of power (some will gain at the expense of others), structuring subunits and reporting relationships, allocation of

resources to various activities, patterns of required interaction and communication, operational procedures, norms and values about how things are done, assignment of formal and informal roles and the staffing of key positions. To succeed, re-orientation requires concurrent changes in strategy, structure, processes and people. Some examples of these resources, apart from the intellectual capabilities of the staff, included the quality of the office space, strong cash flows and cash reserves and the good reputation that enabled the organisation to attract corporate sponsorship from reputable companies like Coca Cola, Virgin Atlantic, Western Union, the British Broadcasting Corporation etc. It is worth noting that even the largest food company in the world opened its doors to the Notting Hill Carnival for a sponsorship opportunity and consideration. This was the result of the ability of the NCT to function as a social system because all the factors that constitute organisational effectiveness were present as outlined above.

According to Haberberg and Rieple (2000, p.31) the success of an organisation depends on how the different views of the organisation fit together:

The four views of the organisation – as a collection of people, an economic actor, an accumulation of knowledge and learning, and a bundle of resources – are not alternatives, but complementary. If you want fully to understand an organisation's strategy, and why it succeeds or fails you need to combine all four aspects, and understand how they interact ... the final interaction relates to an organisation's ability to change.

Mayfield (2015, p.202) says that:

Gaining and maintaining the momentum of change is the challenge of change leadership. Change managers need to consider and execute a range of approaches to managing the momentum. Change often falters after the first flush of enthusiasm.

At the Notting Hill Carnival, effective management of relationships through the stimulation of the interests and desires of the key stakeholders enabled the maintenance of the momentum to achieve the strategic objectives of the change initiative. This was achieved by engaging the various carnival disciplines in different ways to ensure complete adoption of the change. Some were enthusiastic about the change and some were resistant, and some were somewhere in the middle. Adapting the earlier study by Ryan and Gross (1943) into the diffusion of hybrid seed corn among Iowa farmers, Rogers (2003, p.121) coined the term “diffusion of innovations” for this effect in a social system. He segmented the society into five categories, depending on how quickly or otherwise they adopted the innovation. These categories are: innovators, early adopters, early majority, late majority, and laggards. The following figure shows the percentage of people in each category and the trend in adoption (see Figure 35):

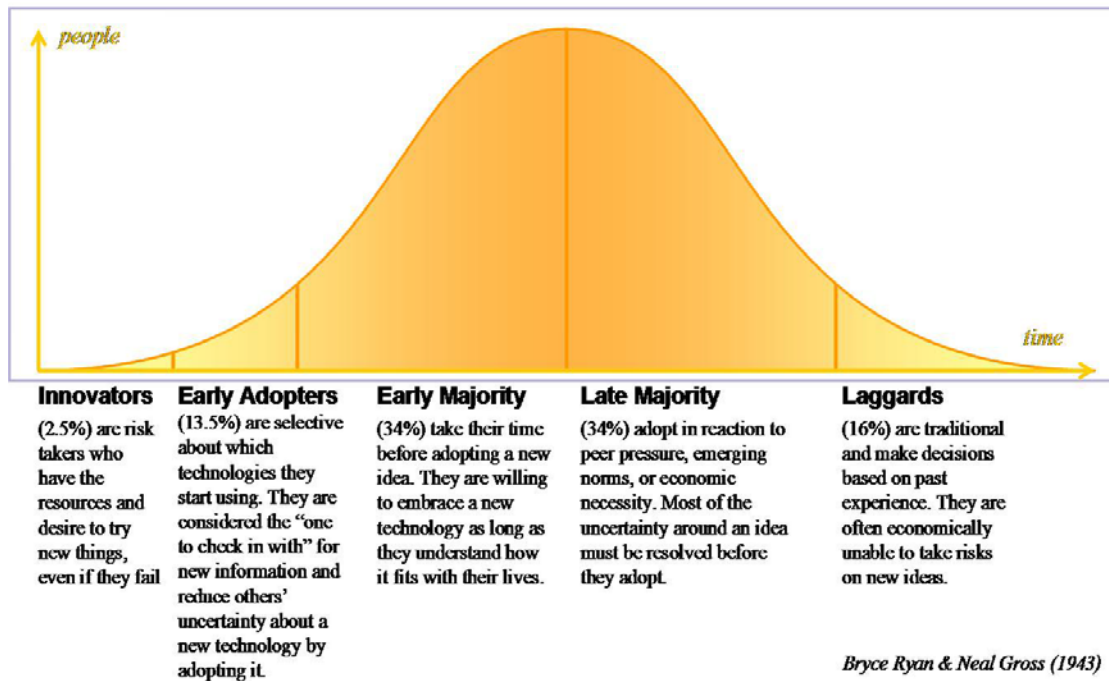


Figure 35: The innovation adoption curve
Source: Ryan & Gross, 1943

The ultimate aim of the NCT was to re-build the tarnished image of the Notting Hill Carnival, and to turn its reputation around. The term "carnival cohesion" was coined in order to address the perceived conflicts in the carnival community. The goal was to move towards a carnival managed and driven by consensual cohesion or stability. Thus, social cohesion was what happened when the different groups of artistic performers and their supporters got on well together and internal divisions and conflicts were buried. Success was judged by the sustainable and lasting stability which resulted in good reputation which gave the organisation access to sources of finance in the private sector in a major way. As noted by Haberberg and Rieple (2000) reputation can be important in giving organisations access to sources of finance or to good staff. An organisation needs to deploy its resources within its value chain so as to generate value for its users. In this way, it will generate financial resources and a good reputation.

At the Notting Hill Carnival, the organisation was structured to function as a social system or as a collection of people who worked together. Specific factors in the management of relationships or social cohesion which contributed to the achievement of the organisational effectiveness of the NCT included:

- (i) Strong and positive relationships between carnival disciplines;
- (ii) The sharing of a sense of belonging and unity of purpose;
- (iii) Equality of treatment of all carnival disciplines and people;
- (iv) Members of the organisation knew their rights and responsibilities;
- (v) Members of the carnival community had confidence in the carnival management organisation;
- (vi) Recognition of the artistic, cultural and economic value of the Carnival;
- (vii) A clear and compelling vision for a better and shared future;
- (viii) A challenging but practical, realistic and attainable vision that emphasised the values that unify the carnival community;
- (ix) The incorporation of opportunities for feedback in the communication process to avoid cognitive biases.

12.3.2. Measurement of Financial Performance

In the business world, there are many ways by which to measure organisational performance. The range of criteria for the measurement is both direct economic measures and broader effectiveness measures. A firm can choose from an infinitely long list of possible objectives. Examples include market share, survival,

maximisation of profit, and maximisation of shareholders' wealth. According to Arnold (2008) while many commentators concentrate on profit maximisation, finance experts are aware of a number of drawbacks of profit. The maximisation of the returns to shareholders in the long term is considered to be a superior goal. It is assumed that a company should make investment and financing decisions with the aim of maximising long-term shareholder wealth. The objectives which the NCT, a not-for-profit organisation, aspired and against which its effectiveness was measured were quite different. The success of the NCT was driven by its ability to live within its financial means. The idea of profit was not particularly relevant as it was a means to an end, in that it enabled the generation and maintenance of strong cash flows and cash reserves. Haberberg and Rieple (2000) observe that most organisations have internal measures of success. Owners and other major stakeholders will set goals for the organisation, which will typically be expressed in financial terms. Similarly, the NCT measured performance in terms of the following questions:

- (i) How much money has been raised or generated?
- (ii) How much to appropriate for carnival safety and carnival arts?
- (iii) Are these sufficient given the size of the Notting Hill Carnival?

Ultimately, the Notting Hill Carnival must contribute to its own well-being by contributing to the maintenance of a comfortable and secured environment for the carnival audience and the well-being of the artistic performers and participants. Therefore, instead of carnival plans drawn up in terms of accounting budgets, with their vulnerability to distortion and manipulation of profit, NCT was encouraged to think through the extent to which its strategic initiatives would

produce the required cash flow to adequately support the Notting Hill Carnival. This approach would be described as “value-based management” which was the process of value creation for a not-for-profit organisation in terms of strong cash flows, intelligent application of the cash resources, and the creation of credible cash reserves. In the business world, Arnold (2008, p.620) defines “value-based management” as a “managerial approach in which the primary purpose is long-run shareholder wealth maximisation. The objective of the firm, its systems, strategy, processes, analytical techniques, performance measurements and culture have as their guiding objective shareholder wealth maximisation”.

But, as a charitable organisation, the guiding objective of the NCT was the maintenance of a strong balance sheet, money in the bank, not running into debt, and providing a very high level of service that the carnival community wanted. Haberberg and Rieple (2000) have emphasised that the goals which NFP organisations aspire to and against which their effectiveness can be judged are quite different from public sector or commercial firms. Although NFPs must live within their financial means, “profits” are not relevant except as a means to an end. Providing education, emergency aid, or welfare services, or whatever else the NFP’s mission is, are instead more important goals.

The achievement of value for its money was the main criterion for judging the success of the organisation by the carnival community at the Annual General Meetings. According to Jones and Pendlebury (2000) the phrase value for money is used to refer to economy, efficiency and effectiveness. Strictly speaking, it relates output (value) to input (money) and is therefore another way

of saying “efficiency”. For example, the carnival community wanted to ensure that the money put into stewarding was actually and demonstrably leading to a smooth-running Carnival with no interruptions from the spectators? The carnival spectator was not expected to pay to come to the Carnival but the organisation had the ability to generate potentially unlimited income if properly managed or disciplined. In this sense, the NCT was more like a commercial entity and was made to behave as such. By definition, the NCT was to provide service. Therefore, the incomes were directed towards providing that service through the principle of value-based management on account of the benefits made available to the community and the carnival spectator. It was the ability of the NCT to generate value for the carnival spectator and artistic performers that was crucial for its ability to nudge a behaviour change in the management of relationships or the management of social cohesion.

It is important to appreciate the concept of social cohesion as used in this context of achieving good relations between the members of the carnival community. Ratcliffe and Newman (2011) say that social cohesion is a more fundamental concept than community cohesion. It effectively acknowledges the presence of “intra” as well as “inter”-community divisions. Social cohesion refers to a situation where these internal divisions have been addressed as achieved at the Notting Hill Carnival. But cash reserve creation provided a threshold competence which was vital to ensure the survival of the organisation or the maintenance of organisational stability through financial stability. The following table highlights the Reserve Creation Policy of the NCT between 1997 – 2001 (see Figure 36).

Reserve Creation for Financial Stability

<i>Year</i>	<i>Total Income £</i>	<i>Total Expenditure £</i>	<i>Surplus £</i>
1997	Accumulated Reserves as at 1997		99,940
1998	472,350	438,390	33,960
1999	546,830	521,050	25,780
2000	618,620	572,060	46,560
2001	645,350	607,590	37,760
Total Reserves to 30 September 2001			£ 244,000

Figure 36: Reserve Creation for Financial Stability
Source: Audited and Published Accounts, NCT, 2001

The view was that undisciplined financial approaches could seriously undermine the stability and integrity of the organisation. This does not refer to measuring effectiveness as we have defined it. It is to do with fiscal compliance which Jones and Pendlebury (2000) have described as, the extent to which the organisation has complied with the conditions laid down in its authority to spend. Those conditions might be imposed internally by a budget. Or the conditions might be imposed by law. These gave NCT the ability to survive a number of setbacks such as the reduced funding from the public sector when the Commission for Racial Equality stopped its funding of the Carnival because of changed priorities and budget cuts from the central government.

With a strong balance sheet and reasonable cash reserves, the organisation achieved an enhanced reputation which gave it access to new sources of finance and the ability to attract competent staff. For example, because of the good public profile and high levels of financial support, the Mayor of London decided to fund the carnival stewarding operations for the year 2000 in the sum of £200,000; and Nestlé, the largest food company in the world sought a sponsorship relationship with the Notting Hill Carnival. According to Haberberg and Rieple (2000, p.30) as a result of their capabilities, organisations may build a good reputation. This may be a brand built deliberately using market campaigns such as Benetton's "United Colours". Or it may arise from word-of-mouth as a result of good products or excellent service. Reputation can be important in giving organisations access to sources of finance or to good staff.

Having a strong balance sheet or strong cash flows and cash reserves were critical factors in the success of the NCT. However, understanding what success means and balancing the various objectives of the organisation could lead to problems in defining the level and quality of service required to keep the Carnival ultimately stable. It is therefore very important to be clear about how these were achieved in relation to the internal operational efficiency of the organisation. Arguably, the carnival community would benefit if the NCT concentrated on value creation through the generation of high levels of profit. The carnival community had the right to demand that the carnival management act in their interest and could use their powers to remove the management if it failed to do its utmost. Arnold (2008) says that for managers to feel truly safe in their jobs, they should aim to create as much wealth as possible. Arguably, society as a whole will

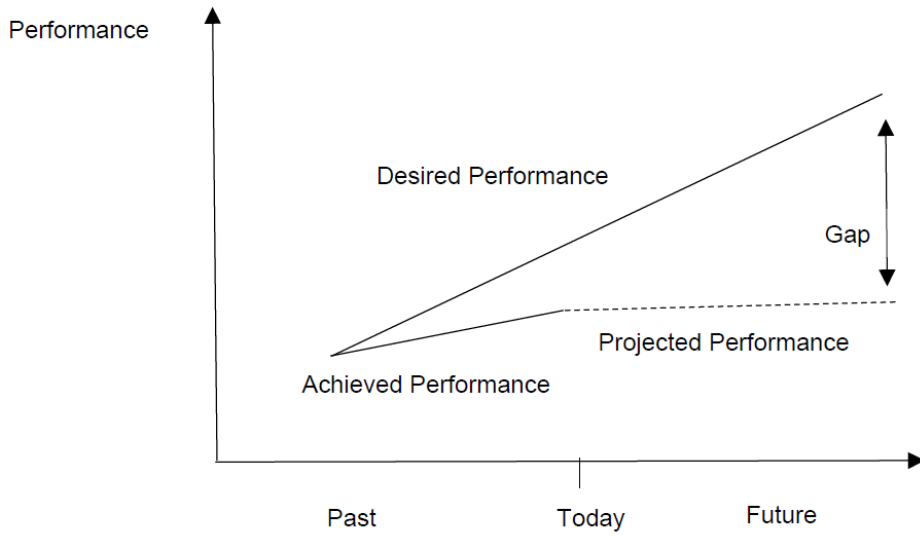
benefit if shareholder-owned firms concentrate on value creation. In this way, scarce resources can be directed to their most valuable uses. Maximising the productivity of resources enables high economic growth and higher standards of living as demonstrated by the NCT. Thus, profits alone would not be enough to enable NCT to achieve its stated objectives. It was clearly important for the NCT to have a management team that both understood and were fully committed to carnival wealth creation or the enhancement of the value of the carnival. The problem was the traditional accounting-based performance measure of profits.

The reason why measurement by profit could mislead in the measurement of carnival value creation is that accounting is subject to distortions and manipulation. Arnold (2008) says that in drawing up profit and loss accounts and balance sheets, accountants have to make judgements and choose a basis for their calculations. They try to match costs and revenues. Unfortunately, for the users of the resulting “bottom line” figures, there can be many alternative approaches which give completely different results and yet all follow accounting body guidelines. Therefore, carnival management decisions which were based on profit figures could lead to inappropriate decisions and behaviour. By using cash flow to measure value and to make certain decisions these problems were avoided.

The internal operational efficiency of the organisation was also measured on the basis of targeted structure of “Incoming Resources” and that of “Outgoing Resources”. These were concerned with some key organisational targets which reflected the internal operational efficiency regarding the attainment of cash

resources and their distribution or application through what is called “gap analysis”. Johnson et al. (2014, p.369) say that “gap analysis” compares achieved or projected performance with desired performance. It is particularly useful for identifying performance shortfalls (gaps) and, when involving projections, can help in anticipating future problems. The size of the gap provides a guide to the extent to which the strategy needs to be changed. The following figure shows a gap analysis where the vertical axis is some measure of performance and the horizontal axis shows time, both up to “today” and into the future. The upper line represents the organisation’s desired performance or target. The lower line represents both achieved performance to today and projected performance based on a continuation of the existing strategy into the future. In the figure below there is a gap between achieved and desired performance. Therefore, performance is clearly unsatisfactory. The organisation clearly needs to adjust its existing strategy in order to close the gap (see Figure 37).

Gap Analysis



Note: Direct Carnival Related Activities include Carnival Costs (36%) and Carnival Arts Grants (30%) Total = (66%)

Figure 37: Gap Analysis

Source: Author, based on Johnson et al. (2014)

It was rather unfortunate that an arts festival of such significance and magnitude as the Notting Hill Carnival was being facilitated from a budget base which was full of uncertainties and risks. Despite the uncertainties and threats facing the Notting Hill Carnival, the NCT set total revenue and total cost targets in response to its strategic orientation. The revenue target included funds from the public and private sectors and the cost targets were driven by the policy of living within the financial means of the organisation. Both of these policies were sound up to a point because of the risks and uncertainties that the organisation faced. As noted by Haberberg and Rieple (2000) there are two logical, and so superficially attractive ways for companies to manage risk and uncertainty. One is through diversification – on the basis that if a firm spreads its interest over many businesses, it might be less likely to suffer fatal damage from unexpected problems or poor decisions if just one. Another is through flexibility – avoiding taking decisions that cannot be reversed or amended as circumstances change.

In 2001, the NCT aimed to achieve a total revenue of £620,000 and a total cost of £600,000. The targets for the measurement of the internal operating efficiency were that 65% of the total revenue should come from the private sector, and 60% of the total cost should be applied to direct carnival related activities. The actual figures for the period were 73% of total revenue, and 66% for direct carnival related activities. The attainment of the performance targets are shown in the following tables (see Figures 38 & 39):

Notting Hill Carnival Trust

Structure of Incoming Resources – 1999 to 2001

<i>Description</i>	<i>1999</i>	<i>% Total Income</i>	<i>2000</i>	<i>% Total Income</i>	<i>2001 *</i>	<i>% Total Income</i>
Public Funding	150,300	27%	169,170	27%	170,900	27%
General Sponsorship	287,320	53%	336,730	55%	358,500	56%
Street-trading	71,940	13%	92,470	15%	92,700	14%
Other Income	37,270	7%	20,250	3%	23,250	3%
Total	£ 546,830	100%	618,620	100%	645,350	100%

Note: Private sector funding includes General Sponsorship (56%), Street Trading (14%) and other income (3%)
Total = (73%)

Figure 38 Structure of Incoming Resources 1999 - 2001
Source: Audited and Published Accounts, NCT, 2001.

Notting Hill Carnival Trust
Cost Structure and Relationships
Structure of Outgoing Resources – 1999 to 2001

<u>Description</u>	<u>1999</u> £	<u>%</u> <u>Total</u> <u>Cost</u>	<u>2000</u> £	<u>%</u> <u>Total</u> <u>Cost</u>	<u>2001 *</u> £	<u>%</u> <u>Total</u> <u>Cost</u>
Office Accommodation	43,030	8%	41,680	7%	42,520	7%
Office administration	158,190	30%	173,620	30%	166,540	27%
Carnival Costs	182,500	36%	179,860	32%	218,530	36%
Carnival Arts Grants	137,330	26%	176,900	31%	180,000	30%
Total	£ 521,050	100%	572,060	100%	607,590	100%

Note: Direct Carnival Related Activities include
Carnival Costs (36%) and Carnival Arts Grants (30%)
Total = (66%)

**Figure 39: Cost Structure and Relationships Structure of
Outgoing Resources – 1999 to 2001**
Source: Audited and Published Accounts, NCT, 2001.

Having regard to the nature of the carnival environment and the strategic goals of the organisation, setting financial performance targets was deemed appropriate for the control of revenues and costs, and also for the motivation of the staff. The targets were derived from the strategic objectives which focused on carnival wealth and value creation. Johnson et al. (2014) say that

performance targets focus on the outputs of an organisation (or part of an organisation), such as product quality, revenue or profits. These targets are often known as key performance indicators (KPI). The performance of an organisation is judged either internally or externally on its ability to meet these targets. According to Drury (2004) there is substantial evidence from a large number of studies that the existence of a defined quantitative goal or targets is likely to motivate higher levels of performance than when no such goal or targets is stated. People perform better when they have a clearly defined goal to aim for and are aware of the standards that will be used to interpret their performance.

12.3.3. Enhancement of Carnival's Artistic Assets

One of the essential strategies of the change management initiative of the Notting Hill Carnival was the enhancement of the artistic assets of the Carnival. The aim was to strengthen the fabric of the carnival arts through the creation of an optimum environment for the development of the best possible artistic expression in costume design, music and dance at the Notting Hill Carnival. The NCT realised that innovative work was essential to the continuing popularity and health of the Carnival, and that it was only through innovative work that the carnival arts would be prevented from becoming stale and lifeless. On the issue of innovation, Yukl (2000) has said that the environment of most organisations is becoming increasingly dynamic and competitive. To succeed in this turbulent environment, organisations need to have people at every level who are oriented toward learning and continuous improvement. Organisational learning involves acquiring new knowledge, either by discovering it or by initiating the best practice

of others. This was achieved through a programme aptly named the “Carnival Arts Development Initiative”. It was the creation of an artistic and financial framework for the promotion of innovative work in the carnival arts. The goal was the establishment of significant levels of financial support for the development of innovatory work throughout the carnival arts and the carnival community, and to nurture new ideas and ways of improving and sustaining the Notting Hill Carnival. The Carnival Arts Development Initiative was a challenging project for the facilitation of the artistic and cultural expressions of the diverse art forms and cultures of the Notting Hill Carnival. Its objectives were stated as follows:

1. Through the implementation of the Carnival Arts Development Initiative, NCT will work towards achieving the following goals:
 - (i) NCT will build on the present provision and develop new facilities.
 - (ii) NCT will provide additional support to improve the effectiveness of the carnival arts organisations.
 - (iii) NCT will encourage and invest in the carnival organisations to allow greater creative flexibility and better rewards for their work.
 - (iv) NCT will make the carnival arts more available and accessible by increasing local activity and taking the carnival arts to the people.
 - (v) The NCT will support a broad range of programmes and projects which bring the carnival arts and education sectors into productive relationships.
 - (vi) Training has a crucial role to play in assisting the carnival organisations to cope with the rapidly changing world around them. The NCT will encourage and assist the organisations in their efforts to achieve this crucial objective.

2. The Carnival Arts Development Initiative will provide the window and facility for liaison with schools and provide opportunities and development initiatives for young people to contribute to their own cultural heritage.
- (i) In addition, it will provide for cross-cultural opportunities to enhance and promote the development of good community relationships at the formative years.
 - (ii) The premises will provide a center for basic education in carnival arts through lectures, seminars and workshops.
 - (iii) It will establish and create the foundation for development and consolidation of the future potential for Carnival and its culture.
 - (iv) The Initiative will also provide job opportunities for teachers and development staff.
 - (v) The Initiative will become a focal point of contact for the community, an information and advice center for members of the carnival community and their families.
 - (vi) Shows and presentations would be organised to encourage participation and educate the community to add to their quality of life in various respects.

The concept of the Carnival Arts Development Initiative was based on the recognition that the Notting Hill Carnival had developed to become a union of cultural diversity. On the basis of the perceived contribution of the carnival arts and culture to society, it was very necessary to encourage the production of quality carnival arts which were relevant to the spirit of the carnival process and to the wide range of the people who attended the Carnival. The maintenance or improvement of the quality of the carnival arts was the responsibility of the carnival artists, but the NCT aimed at supporting and persuading them to do so.

However, Lockyer and Gordon (2005) suggest that one of the main problems with “quality and reliability” is defining what is meant in a particular case in measurable terms. If they cannot be measured or quantified in some way, then there is no way of saying whether they have been achieved or not. In some projects the aesthetic aspects of the product may be of importance and a very real problem arises in defining how it is to be assessed. This was the case at the Notting Hill Carnival.

The reference point was to the cultural and traditional purity of the Carnival within the framework of its union with other cultures, both nationally and internationally. It was the notable and remarkable contribution of the carnival arts to society which informed the policy of the NCT to recognise and value the Carnival as an integral part of the social and cultural structure of society. The view of the NCT in relation to the value of arts and culture to society was gloriously affirmed by Arts Council England when it described arts and culture as a “strategic national resource” that have a “humanising influence” and confer benefits on “our social wellbeing and cohesion, our physical and mental health, our education system, our national status and our economy” (ACE, 2014, p.3).

In another report from Arts Council England entitled, “Contribution of the Arts and Culture Industry to the National Economy”, it is stated that funding of the arts and culture sector is derived from three main channels, namely: earned income, such as from ticket sales and merchandise; public funding, for example, from Arts Council England, local authorities and other public bodies; and contributed income, which includes sponsorship, trusts and donations. Between March 2012

and April 2015, the Arts Council invested £1.37 billion of public money from government and £866 million from the National Lottery to help more people experience arts and culture (ACE, 2015, p.23).

As justification, the report of Arts Council England and Centre for Economics and Business Research (2015, pp.7-8) further highlights both quantitative and qualitative aspects of the contribution of arts and culture to society. Economically, businesses in the UK arts and culture industry generated an aggregate turnover of £15.1 billion in 2012/2013. A higher frequency of engagement with arts and culture is generally associated with a higher level of subjective wellbeing. Art, when delivered effectively, has the power to facilitate social interaction and can contribute to community cohesion. Educationally, participation in structured arts activities increases cognitive abilities. However, the report adds that whilst the stated positive impacts of the arts can be seen, there is an evidence gap and most of the studies reviewed cannot establish causality between arts and culture and the wider societal impacts.

Our understanding of the artistic, cultural and economic contribution of the Notting Hill Carnival in the light of the general picture as painted by Arts Council England, was crucial to making the carnival arts more sustainable. Instead of making the case for more funding of the carnival arts from public sources, the NCT transformed the Notting Hill Carnival into a profitable and viable business concern with the capability to raise funds from the private sector to further enhance the artistic assets of the Carnival. In this respect, the organisational aims were driven as follows:

- (i) Substantially increased Carnival Arts Grants for bands taking part in the two days of Carnival.
- (ii) Substantial Carnival Arts Grants for participants at the Mas Gala, Steelbands Panorama, Calypso Monarch Competition and other carnival related Pre-Carnival activities.
- (iii) Introduction of a new category of fees to be called “Carnival Development Funding”, targeted to reach all the carnival disciplines to reward innovation and cultural purity.
- (iv) Substantial awards for carnival artists for the recognition of their achievements and artistic talents and efforts.

Whatever the sources of funding, the NCT felt that the carnival arts like other arts and culture, should be properly and adequately funded. Thus, the requirements of the carnival arts for a carnival which attracted over a million revellers should be properly determined, and appropriately funded. The Notting Hill Carnival is a successful festival, but it is a festival in which all the events are almost free. In such a situation, what is known as market failure has occurred. Jones and Pendlebury (2000) have said that for a free market system to work, the supplier of a service must be able to enter into a contractual relationship to charge consumers for the service provided. Notably, in the case of the Notting Hill Carnival this was not possible and so financing through public funding and corporate sponsorship were assumed to be the most appropriate answer by the Notting Hill Carnival Trust.

The following is an extract from the submission of the NCT to the Greater London Authority regarding the perceived level of future Carnival Arts Grants for the protection of the artistic assets of the Notting Hill Carnival (see Figure 40).

4. Future Carnival Arts Development Grants

- 4.1 Innovative work is essential to the continuing development and health of the Notting Hill Carnival. It is what moves the carnival arts forward and prevents them becoming stale and lifeless. All the strategies adopted are intended to create a financial framework for the promotion of innovative work.
- 4.2 Action will be taken to establish increased levels of financial support especially for the continued development of innovatory work throughout the carnival arts and community in order to nurture new ideas and ways of improving the Notting Hill Carnival.
- 4.3 It is believed that the disciplines of the Notting Hill Carnival deserve a financial provision that recognises the time, effort and resources needed to maintain and sustain the artistic integrity of the Carnival.
- 4.4 In view of the present developments and the raised profile of the Notting Hill Carnival, the Notting Hill Carnival Trust intends to work towards the following minimum arts grants targets to enhance the financial base of the disciplines of the Notting Hill Carnival.

Carnival Arts Development Grants Target

<i>Discipline</i>	<i>No of units</i>	<i>Arts Grant Per Unit £</i>	<i>Total £</i>
Children's Costume Band	40	12,000	480,000
Adults' Costume Band	60	20,000	1,200,000
Steel Orchestra	15	25,000	375,000
Mobile Sound System	35	5,000	175,000
Static Sound System	45	5,000	225,000
Senior Calypsonian	20	3,000	60,000
Junior Calypsonian	10	1,500	15,000
Junior Pannist	10	1,500	1,000
Total Carnival Arts Grants		£	2,545,000

Figure 40: Carnival Arts Development Grants Target
Source: NCT's Submission to GLA, 04 July 2001.

4.5 This looks like a formidable task, but with the deployment of modern technology and firm support and recognition from our public-sector partners, this target can be achieved in stages. The Trust will be required to draw up a third Carnival Development Plan with those targets in mind.

4.6 In view of the uncertainties that surround any Carnival Funding from sponsorship sources, it is hoped that London Arts and Arts Council England will take notice of these targets as additional requirements to maintain the artistic integrity of the Notting Hill Carnival.

Between 2000 and 2001, Notting Hill Carnival Trust contributed around £370,000 annually towards carnival arts grants and carnival related activities as the following extracts from the published accounts demonstrate (see Figures 41 & 42):

6 DIRECT CHARITABLE EXPENDITURE	2001	2000
	£	£
Grants for Carnival Arts Projects	152,940	176,899
Cost of Support Activities	-	-
• Pre-Carnival Activities	45,685	39,950
• Awards Presentation Ceremony	-	8,563
• Carnival Route Management	166,131	38,383
• Carnival Procession and Activities	31,156	24,156
• Carnival Roadshow Activities	39,152	18,198
	£ 435,064	£ 306,149

Figure 41: Note 6 – Direct Charitable Expenditure
Source: Trustees' Report and Accounts, NCT (2000 p.7)

18. GRANTS PAID AND COMMITTED IN 2000 – 2001 (Summary)

	<i>No of Grants</i>	<i>2001</i> £	<i>No of Grants</i>	<i>2000</i> £
Costume Arts Development	50	78,210	55	91,529
Steel Orchestra Music Development	12	49,750	15	41,960
Calypso Music Development	16	9,180	9	7,910
Sound Engineering Development (Mobile)	35	8,200	28	15,600
Sound Engineering Development (Static)	38	7,600	39	19,900
	151	£ 152,940	146	£ 176,899

Figure 42: Grants Paid and Committed in 2000 - 2001
Source: Trustees' Report and Accounts, NCT (2000, p.14)

The purpose of the concept of Carnival Arts Development Initiative was to address the imbalances, inconsistencies and the uncertainties surrounding the availability of financial resources to support a carnival which attracted over a million revellers. Even though the Notting Hill Carnival had become the largest street-festival in Europe and rivalled those of Trinidad and Rio de Janeiro, the organisation had very little or adequate financial resources to effectively underpin its administration and operations, let alone to support the artistic efforts of the performers. Rolfe (1992) reported that festivals attract a considerable amount of funding from a variety of sources, but they are expensive events to stage, and the majority of festivals have reported a deficit. She also suggested that a substantial number of festivals are in financial difficulty. Additionally, there was concern among festival organisers that the growth of new festivals has reached a saturation point and that festivals are competing for limited resources

and could suffer as a result. In comparison with other carnivals, it is worth noting that the Trinidad Carnival is state-funded because of its economic and cultural value to the country. The Sunday Express of the Trinidad Express Newspapers, on March 11th, 2014, reported as follows:

Carnival as a festival generates significant activities, with estimates suggesting as much as \$1 billion being spent and made over the typical “season”. As for who profit off it, or whether there are returns on investment on state resources ploughed into Carnival, are unanswered questions. Between 2012 and 2014, Government contributed around \$200 million annually to the various interest groups (Pan Trinbago, TUCO, NCBA, major events organisers and community carnival activities). Additionally, the State underwrites a huge sum for the extra security that is employed for the festival, while subsidised services such as public transport and garbage collection work overtime to facilitate revellers and participants.

The Carnival Arts Development Initiative was developed within the framework of using the presence of over one million revellers at the Carnival to attract substantial corporate or business sponsorship for the enhancement of the artistic assets of the Carnival. The financial benefits to the carnival’s artistic participants was the most essential element in the cocktail of benefits that accrued to the NCT from the change management initiative. Jenner (2015, p.132) says that:

Benefits are the reason that an organisation invests its time, management attention and resources in change initiative. Benefits are defined as the measurable improvement from change which is positive, by one or more stakeholders, and which contributes to organisational (including strategic) objectives ... or reducing risks to their achievement.

12.3.4. Maintaining the Strategic Position

Although several measures have been applied to provide evidence of the achievements of the NCT from a number of perspectives, there was a rich picture of benefits realisation with regard to the Carnival Arts Development Initiative. The objective here was to maximise benefits realisation for the carnival arts by actively managing and capturing the stabilised carnival atmosphere through the tenets of an effective and efficient management organisation. While the focus of the organisation was on forecasts and targets, there was awareness of the need to be realistic in order to overcome the twin risks of strategic misrepresentation and optimism bias. The approach adopted by the NCT to benefit realisation was a bit of realism and a bit of enthusiasm. On the issue of realism and enthusiasm with regard to optimisation of benefits realisation, Lovallo and Kahneman (2003) draw a clear distinction between those functions and positions that involve or support decision making and those that promote or guide action. They argue that the former should be imbued with a realistic outlook, while the latter will often benefit from a sense of optimism.

The effective management of the Carnival Arts Development Initiative was aided by the adoption of measures and reports that succinctly conveyed the important points. Included in this process was the behavioural feedback approach to measure the attitude change in the carnival participants, on account of the support and encouragement from the Notting Hill Carnival Trust. London and Smither (1995) have observed that the use of behavioural feedback from multiple sources has become a popular method for management in the past ten

years, and it was widely used in large organisations. This approach is called by various names, including “360 – degree feedback” and “multi-rater feedback”. At the Notting Hill Carnival, the primary use of the multi-source feedback was to assess the strengths and developmental needs of the carnival participants and to measure the level of financial support they needed.

For example, the following list of beneficiaries was based on a measurement of their contribution to the carnival arts and carnival activities in 2001. This was measured against a baseline of zero financial benefits in 1994. The objective was to ensure a substantial baseline financial benefits so that quality and effort levels would be extras. However, the following examples were the baseline financial benefits against which progress could be measured. These are not budgets or targets. This is a sample of cash payments made by the NCT to carnival participants in 2001, a year in which the NCT catered for 151 artistic entities who, each with its large and small contingent of performers constituted the Notting Hill Carnival (see Figure 43):

	£
BeeRaaHaar Sweet Combination	6,460
Dragons Sporting and Cultural Club	5,580
Flamingo Carnival Arts	5,450
Mahogany Carnival Club	5110
Masquerade 2000 Associates	3,190
Perpetual Beauty Carnival Club	9,330
Ruff Diamond	3,900
Shademakers Carnival Club	1,790
South Connections Carnival Club	9,580
The London School of Samba	6,380
Yaa Asantewaa Carnival Group	2,100
Ebony Steelband Trust	6,870
Eclipse Steel Orchestra	1,830
Forest Gate Steel Orchestra	1,800
Glissando Steel Orchestra (Venture Community Centre)	1,830
London All Stars Steel Orchestra	11,730
Mangrove Steel Orchestra and Mas	15,810
Metronomes Steel Orchestra	3,830
Pan Necktar Steelband	3,000
Reel Steel	1,150
Stardust Steel Orchestra	1,000
Kerwin Dubois (Calypsonian)	500
Wayne Maraj (Calypso)	430
Paulina Oduro (Calypso)	3,650
Ken Youngblood (Mobile Sound DJ)	900
Smokey Joe (Mobile Sound DJ)	700
Latin Rave (Static Sound System)	200
Lord Gelly (Static Sound System)	200

Figure 43: Grants Paid in 2001

Source: Trustees' Report and Accounts, NCT (2000, pp.14-18)

The strategy for performance and evaluation emphasised the necessity to extend the concept of the Notting Hill Carnival as a union of cultural diversity. Thus, the Carnival Arts Development Initiative encompassed the whole range of diverse arts and culture provisions which were recognised nationally and internationally. The Carnival Arts Development Initiative placed considerable emphasis on the financial requirements and needs of the providers of the artistic content of the Carnival. The fundamental evaluation question was whether the forecast performance was satisfactory and feasible in terms of the organisational

capabilities of the NCT? On the question of strategic capability, Johnson et al. (2014, p.11) say that:

Each organisation has its own strategic capabilities, made up of its resources (e.g. machines and buildings) and competences (e.g. technical and managerial skills). The fundamental question on capability regards the organisation's strength and weaknesses (e.g. where is it at a competitive advantage or disadvantage?) Are the organisation's capabilities adequate to the challenges of its environment and the demands of its goals?

The ability of NCT to maintain or improve on its established strategic position depended on its ability to hold on to its strategic capabilities. To hold on to its strategic capabilities the organisation needed to remain rational and not political. The change management experience at the Notting Hill Carnival suggests that suitable leadership attributes and the choice of appropriate behaviours were important elements in achieving the strategic goals. But more importantly, the management staff would have achieved very little if they were not powerful enough. Tension tended to exist because of the differences in the interests of the different carnival stakeholder groups. When such tension was destructive, it affected the stability of the organisation and when it was constructive, it stimulated creativity in the organisation. Thus, it was difficult to be free of organisational politics and to remain absolutely rational. According to Haberberg and Rieple (2000) these tensions within organisations are resolved through political processes, which are an important part of strategic decision-making. Decisions may depend upon how much information the decision makers have at their disposal, how well the different arguments are presented, and the decision-makers' desire to further their personal interest. Decision makers may also be

influenced by their past. They may be influenced by sentimental attachments or people know how to influence the decision maker.

But, according to the academic literature, the rational model of organisation is based on rationalism (the theory that reason is the foundation of certainty in knowledge) and rationality (the use of scientific reasoning, empiricism, and positivism, along with the use of decision criteria that include evidence, logical argument, and reasoning). The rational model of organisation assumes that people's behaviour is not random or accidental, but is instead directed towards achievement of the organisational goal. The political model holds that there is no overarching goal to which all members of the organisation subscribe. The behaviour of individuals and groups can be explained with reference to their own particular goals. Those with the most power will be more successful in furthering their interests and achieving their goals. Huczynski and Buchanan (2013, p.776) define the two organisational models as follows:

Rational model of organisation, a perspective that holds that organisational goals are clear, objectives are defined, alternatives are identified, and choices are made on the basis of reason and logic.

Political model of organisation, a perspective that holds that organisations are made up of groups that have separate interests, goals and values, and in which power and influence are needed in order to reach decisions.

Pfeffer (1992) contrasts the dimensions of the rational model of organisation with the political model (see Figure 44). These models have different implications for our understanding of how people in organisations think and behave. The reference here seems to be the quality of the balance of desirable and

undesirable patterns of behaviour of members of the carnival management organisation.

Organisation characteristic	Rational model	Political model
goals and preferences	consistent among members	inconsistent, pluralistic
power and control	centralised	decentralised, shifting coalitions
decision processes	orderly, logical, rational	disputed, push and pull of interests
rules and norms	optimisation	conflict is legitimate
information	extensive, systematic, accurate	ambiguous, used strategically
beliefs about cause and effect	known, understood	many views and disagreements
decisions	based on maximising outcomes	result of interest group bargains
ideology	efficiency and effectiveness	struggle, conflict, winners, losers

Figure 44: Rational Model and Political Model of Organisations
Source: Pfeffer (1981, p.31)

12.4. Concluding Comments

One of the most important and difficult carnival management responsibilities was to guide and facilitate the process of managing the cohesiveness of the organisation by changing the culture. As noted, organisational culture involves assumptions, beliefs and values that are shared by members of the organisation. It is found that the amateurish management of the relationships within the complex and dynamic carnival organisation was inherently hectic, varied, fragmented, reactive, disorderly and political. To carry out their responsibilities effectively, the management needed to obtain relevant information that existed,

but was widely scattered within and outside the organisation. They had to make decisions based on information that was both overwhelming and incomplete. Thus, they needed to secure co-operation from people over whom they had no formal authority. But the situation was changed through decisive actions to bring the organisation together; through positive interaction driven by the perceived sense of purpose; and fostering a compelling vision of an attractive and better future.

The relationship between the management and the carnivalists was further improved by the maintenance of discipline through the design of the organisational structure and the system of controls. These mechanisms had a significant impact on the operations and performance of the Notting Hill Carnival Trust. It was a case of establishing and maintaining harmonious and co-operative relationships with all the internal and external stakeholders found in the carnival environment. Since the carnival environment was too complex and unpredictable, it was not possible to rely on a set of standard responses to events and behaviours. Hence, the management was continuously reading the situation and evaluating how to adapt its behaviour to the rapidly changing carnival environment. The chapter has also examined the importance and success of the collaborative efforts and structures that impacted on the behaviour and performance of the carnival disciplines. Without these approaches, the NCT would have had no authority over these disciplines, and the result would have been chaos and disorder.

13. KEY FINDINGS AND CONCLUSIONS

13.1. Introduction

This final chapter summarises the major observations and findings from earlier chapters and presents the relationship between the research objectives and the thesis' structure. An integrating conceptual framework is presented to show the role of professionalism in management for the attainment of organisational effectiveness. In this regard, the management organisation of the Notting Hill Carnival from 1989 to 2002 is considered as a model or crucible for testing the hypothesis that professionalism in management is one of the key elements required for the attainment of organisational effectiveness. It also takes a very broad perspective of the subject matter and examines the essence of organisational effectiveness; the implications and attributes of professionalism; and the future of professionalism in management. The chapter also examines what has been learned from the research and what contribution it makes to the subject of management science, as well as makes recommendations for future research. It begins with a summary of the research objectives and linkages to the thesis' structure.

13.2. Research Objectives and Linkages

This research highlights the importance of professionalism in management for the attainment and maintenance of organisational effectiveness. The following table shows the relationship between the research objectives and the thesis' structure:

Objectives	Sections of the Thesis
<p>Objective 1 To define and explain the concept of professionalism in management.</p>	<p>This refers to an understanding and interpretation of professionalism highlighted by the mechanisms of professional management and the requirement for organisational effectiveness. These can be found in chapters 1 and 8 of the thesis.</p>
<p>Objective 2 To highlight the role of professional management bodies in influencing standards of professionalism in management practice.</p>	<p>Underlying this objective is the ability of the professional management bodies to develop and maintain the level of standards, skills and competencies required for effective management. This is highlighted in chapter 1 of the thesis.</p>
<p>Objective 3 To conduct an in-depth and illustrative case study that would explain professionalism in management at the Notting Hill Carnival, 1989 to 2002;</p>	<p>The case study method of research is used to investigate the actual behaviour and events that occurred at the Notting Hill Carnival. From chapters 3 to 12, a sequence of sections is presented which describes the case study of the management organisation of the Notting Hill Carnival, 1989 to 2002.</p>
<p>Objective 4 To identify and analyse how professionalism in management was used to revitalise the management organisation of the Notting Hill Carnival from 1989 to 2002.</p>	<p>The professionalisation of management requires a collective response that draws on a participatory approach in setting the rules of engagement which allow diverse personalities to interact constructively over a prolonged period of time. The phenomenal development of the Carnival's management organisation and the activities that drove the improvement are presented in chapters 6 to 12 of the thesis.</p>
<p>Objective 5 To establish an understanding of how professionalism in management brought about improvement in strategic decisions; adaptation to change in the carnival environment; increased flexibility and innovation; and commitment to the organisational changes.</p>	<p>A strategy is a plan for carrying out the mission and attaining the strategic objectives of organisations. For the attainment of the strategic objectives of the Notting Hill Carnival there is a requirement for a higher level of management skills and as well as some new competencies. The effectiveness of the professional management staff is shown in their outputs and achievements in chapters 9 to 13 of the thesis.</p>

13.3. Reflections on the Research Objectives

The above table provides an overview of the research objectives toward the attainment of the research aim. In view of their important implications for the research, the following reflections and observations are made.

13.3.1. Objective 1:

To define and explain the concept of professionalism in management.

The key thesis is based on the fact that professionalism in the management of the Notting Hill Carnival needed to be revitalised because the costs and damage caused by managerial amateurism were damaging the Carnival. Several academics conceive of management as a science-based professional activity that serves the greater good. But our understanding of professionalism in management is much improved by a clear definition and explanation of the concept of professionalism. Understanding of the concept can also be improved by incorporation of contributions from management scientists that explain or interpret the concept. The assessment of professional competence and dependability is based on our understanding and interpretation of what standards are expected from management professionals. Discovering and validating the meaning of professionalism in management drive the creation and evaluation of the concept. In order to resolve potential ambiguities in the way some of the central ideas in the research are described, it is useful to set out the definition of the concept of professionalism in clear terms.

13.3.2. Objective 2:

To highlight the role of professional management bodies in influencing standards of professionalism in management practice.

The research is not about whether the role of professional management bodies can be strengthened, in order to promote higher standards of behaviour and competence across the field of management. The research aims to build an evidence base to inform the potential next steps for an increased professionalisation of management. The experience of the Notting Hill Carnival suggests that the potential exists for professional management bodies to play a significant role in raising levels of competence and ethical behaviour in management. In order to avoid ambiguity, the term “professional management bodies” is used to describe those institutions which set professional standards that incorporate both ethical standards and standards of technical competence. Generally, all the professional staff employed by the Notting Hill Carnival belong to the professional management bodies which appear to be offering all of the services that one would expect a professional body to offer. Systematically reviewing the literature and synthesising the findings in this area, show a lack of a clearly defined role for professional bodies beyond the provision of a qualification. The capacity to influence the attitudes and behaviour of people in organisations, derives from the characteristics of the person who occupies the managerial position.

13.3.3. Objective 3:

To conduct an in-depth and illustrative case study that would explain professionalism in management at the Notting Hill Carnival, 1989 to 2002.

The use of case study as a research method is one of several ways of doing research of this kind. Case study as a research method is defined by Schramm (1971, p.6) who states, “the essence of a case study, the central tendency among all types of case study, is that it tries to illuminate a decision or set of decisions: why they were taken, how they were implemented, and with what result”. This definition describes cases of “decisions” as the major focus of the case study. Hoaglin et al. (1982) failed to consider the case study a formal research method. Another flaw has been to confuse case studies with ethnographies or with participant-observation. Is case study in reality, a description of either of the ethnographic method or of participant observation as a data collection technique? But, the critical features of the case study have been accentuated by Yin (1981) when he defines the scope of case study as “an empirical inquiry that investigates a contemporary phenomenon in depth and within its real-life context, especially when the boundaries between phenomenon and context are not clearly evident”. Thus, we can use the case study method because we want to understand a real-life phenomenon in depth. Our design logic helps to distinguish case study from the other research methods like experiments, survey, histories etc. Yin (2014) observes that this is about theorising and justifying by collecting and analysing case study data.

13.3.4. Objective 4:

To identify and analyse how professionalism in management was used to revitalise the management organisation of the Notting Hill Carnival from 1989 to 2002.

The interpretation of professionalism represents what might be termed the optimistic view of what professionalism and the process of professionalisation of work entails. There is, of course, more to demonstrating high standards of behaviour and competence than having qualifications or being a member of a professional body. Most definitions of management seem to emphasise rational, cognitive processes. Another definition views management as a process wherein managers influence followers to believe that it is in their best interest to cooperate in achieving a shared objective. Our viewpoint is that effective management occurs only when people are influenced to do what is ethical and beneficial for the organisation and themselves. The professional management staff at the Notting Hill Carnival raise high expectations among the stakeholders and these expectations inform and guide these professionals to perform and deliver their best. How management is defined should not predetermine the behaviour of management professionals, because the weight of the professional bodies also bears on them. Therefore, the professionalisation of management should be equated with conditions and regulations for entry to the profession, as well as sanctions and penalties regarding unprofessional conduct.

13.3.5. Objective 5:

To establish an understanding of how professionalism in management brought about improvement in strategic decisions; adaptation to change in the carnival environment; increased flexibility and innovation; and commitment to the organisational changes.

This research focuses on professionalism in management. But, the standards of measurement of the effectiveness of the professionalisation process are measured from the point of view of the attainment of the stability and enhanced reputation of the Notting Hill Carnival. The work of collaboration, co-ordination and flexibility would appear to be the key ingredients for success. This establishes the fact that professional managers or management professionals can play a full role in raising standards in organisations. Equally crucial however, is the fact that any changes will require the full support and engagement of all the stakeholders of the organisation. At the heart of this approach is the development of a shared sense of purpose and responsibility towards society.

To quote an example from Muller and Gewirtzman (2004, section 2):

Civil engineers share a sense of purpose regarding the reliability, robustness and user convenience of the roads, bridges, tunnels, docks, and other artefacts they design and create.

Thus, the professionalisation of the management organisation of the Notting Hill Carnival means that we have a management that “serves the greater good by bringing people and resources together to create value that no single individual can create alone”. The shared interest in outcomes and implications arises from the pragmatist nature of the professional management staff who invites conversations about the financial, political and social implications of their actions.

By the attainment of the stability of these factors, their effectiveness is defined and interpreted.

13.4. The Essence of Organisational Effectiveness

13.4.1. Revitalising Management Organisation

At the heart of the revitalisation of the management organisation of the Notting Hill Carnival from 1989 to 2002, was the attainment of organisational effectiveness. The aim was the cultivation and maintenance of organisational stability through the development of a shared sense of purpose and responsibility toward the carnival participants, the carnival spectators, and the other major carnival stakeholders. A key barrier arose from the tribal or territorial nature of the behaviour of the key stakeholders in the carnival environment and this aspect conclusively informed the organisational design and structure.

13.4.2. The Organisational Field of Interests

Whatever type of organisational effectiveness was needed, whether it be profit measurement or not-for-profit measurement, certain principles are universal. The effective management of the organisation was the key. This was the starting point for the organisational design or the kind of organisational structure suitable for the Notting Hill Carnival. We aimed to treat all stakeholders as most valued assets and this was reflected in the organisational design. Within the scope of this organisational model, it was aimed that the requirements of the various

interest groups were covered to some extent. It was also ensured that the degree to which objectives were reached was explained, with reference to the power relations within the carnival management organisation and its environment. In an attempt to design an organisation model which depicted this reality in an intelligent way, the organisation was considered a “field of interests” in which the various stakeholders pursued ends which were more or less conflicting.

Our management strategies assumed that it was possible to create more solidarity between the members of the carnival management organisation by way of more open communication within the organisation. It was observed that many urgent problems and conflicts were the result of insufficient, wrong or contradictory information. Therefore, the core activity within the organisational design and structure was to destroy barriers to communication. It also improved the ability of the carnival community and members of the organisation to interpret information. The key to the improvement of the organisational effectiveness of the Notting Hill Carnival Trust was the alteration of the individual attitudes, and knowledge of the expectations and aspirations of the members of the organisation.

13.4.3. Defining Organisational Effectiveness

Within the carnival environment, we found a large variety of stakeholders, each with a different expectation and aspiration. These groups were either participating in the Carnival or were being entertained or impacted by it, or were

being supportive of it as a matter of statutory responsibility. Thus, marked differences existed between the expectations of the various carnival stakeholders. The introduction of joint decision-making or increased participation resulted in the fortification of the position of power of the key stakeholders. The design of the organisation operated on the basis of opening up communication and improving information. The degree to which objectives were reached could be explained, with reference to the power relations within the carnival management organisation. But the design was such that the “strong” could not get more than the “weak”.

13.4.4. The Criterion for Organisational Effectiveness

The foregoing viewpoints suggest that it was difficult to define organisational effectiveness by simply looking at the policies and practices of the carnival management organisation. Thus, for the development of our concept of organisational effectiveness, the NCT sought to climb to a higher level of abstraction through a clear and relevant definition of organisation. Implicit in this definition of organisation were the three kinds of core organisational activities which were manifested by the NCT:

- (i) Achieving objectives set by the organisation
- (ii) Maintaining the internal state of the organisation
- (iii) Adapting the organisation to the external environment

The criterion for total organisational effectiveness was an integration of the three effectiveness “scores”. This concerned the degree and quality of energy needed

to carry out the three core activities in relation to the outputs or “pay-offs”. Thus, this definition of organisational effectiveness served to create the need for quality management or the professionalisation of the management of the Notting Hill Carnival.

13.4.5. Addressing Non-Professionalism in Management

The ideas adopted and applied by the NCT in this regard were in areas such as financial management, general management, strategic management, change management, and other specialised related areas of activity. These managerial efforts were at the heart of how the NCT created a stable and credible organisation and thus enhanced its reputation. Of course, the level of professionalism shown by the managers was not the only determinant of the organisational performance of the NCT. Other mechanisms and conditions like the positive and amicable attitude of the institutional stakeholders also affected the organisational performance of the NCT. But, if we consider all the factors and variables that, to a large extent, influenced the management organisation of the Notting Hill Carnival before 1989 and after 1989, they appeared to have a common denominator: the level of professionalism among the managers who struggled to meet the growing demands and expectations of the multi-stakeholders of the Carnival.

Between the Carnival Arts Committee (CAC) and the Notting Hill Carnival Trust (NCT), we found two groups of management. The CAC group members were recruited from the social strata of the carnival community without any perceived

specialised training in management. The NCT group members were recruited from quite different social strata of society, and they had received special professional training differing in scope and level. Thus, marked differences existed between the expertise of the CAC group and the NCT group, which possessed the most expertise and was able to influence and develop the organisational effectiveness of the Carnival.

13.5. Perspective on Professionalism in Management

13.5.1. The Application of Behavioural Science

The professionalisation of the management of the Notting Hill Carnival from 1989 to 2002 was a great challenge which drew on the thorough understanding of the complex and diverse nature of the Carnival. The difficulty of bringing about organisational change at the Carnival was due to the fact that there were a number of change agents involved in the change process, and the resource-starved Carnival could not afford the employment of the change agents. Secondly, the organisational change required was concerned only with the management of the Carnival, because the increased size and popularity of the Carnival was not a product of decisions made by its managers. They were the result of spontaneity and the high quality of its artistic presentations and performance.

As the research has demonstrated, the organisational development at the Notting Hill Carnival was about the application of behavioural-science concepts and skills to the change process in the organisation. The process called for the

discussion of strategies and methods for bringing about change within the management organisation. A variety of opinions on the advantages and disadvantages of established and well-known ideas about the kind of organisational change required were discussed, but more importantly, the main question to be answered was: What do we mean by organisational change?

Kahn (1974) says that "To change an organisation means changing the pattern of recurring behaviour". In other words, a significant aspect of organisational change at the Carnival had to do with changing recurring patterns of undesirable behaviour. Shepard (1970, p.259) uses the word "culture", which is more comprehensive and nearer to our concept of organisational change at the Carnival. Lewin (1952) calls this culture "customs" or "social habits". At the Notting Hill Carnival, such habits were held together in a field of forces within the social system of the carnival environment. Some forces encouraged the organisational change and others resisted the change, but a balanced field of forces was institutionalised into the management organisation. The rationalisation and depersonalisation of behaviour was intended to make them predictable, manageable and efficient. This was the goal of the change process.

13.5.2. The Effects of Participative Management

To ensure the maximum opportunity for the survival of the change and minimal disturbance to the carnival management organisation, management professionals or experts were employed to undertake the task of the organisational change. The intention was to involve them in the introduction,

design, execution, feedback and evaluation of any and all aspects of the change programme. This research considers the different ways in which professionalism in management has been employed, applied and interpreted at the Notting Hill Carnival.

As mentioned above, the organisational change was the application of behavioural-science concepts and skills to the change process. Thus, a high level of professionalism in management was required. Evetts (2013) says that professionalism is a key concept in the sociologies of work, occupations, professions and organisations. Romme (2016) defines professionalism as having four dimensions or levels, namely, “purpose”, “knowledge”, “behaviour” and “expectation”. The attainment of the organisational effectiveness of the management organisation of the Notting Hill Carnival was primarily due to the high level of professionalism demonstrated by the management staff who came through various professional management bodies.

The most prominent feature of the professionalisation of the management of the Carnival was the multi-stakeholder approach. According to advocates of this approach, managers should balance the interests of all stakeholders (Kay, 2014; Martin, 2011). In this regard, our view on organisational effectiveness was based on the system model. Etzioni (1960) has stated that the system model, unlike the goal model, deals with multi-functional units. It assumes that a social unit that devotes all its efforts to fulfil one functional requirement, will undermine the fulfilment of the functional requirement because recruitment of means, maintenance of tools, and the social integration of the unit will be neglected. Our

system model was an effectiveness model. At the heart of this was a shared sense of purpose which is the first of the four dimensions of professionalism and described by Despotides and Prostacos (2012) as a “commitment to a good broader than self-interest”. Bearing this dimension of professionalism in mind, we learned to understand the aspirations, expectations and interests of the carnival stakeholders, and to encourage them to have keen interest in their stake and investment in the Carnival as a whole, as well as in its management organisation. We observed that participation would not be effective unless the stakeholders were actively involved in generating ideas, making suggestions, stating their views, and expressing their concerns.

Participative management at the Notting Hill Carnival produced a variety of essential benefits, but the key achievement was the restoration of the stability, the credibility and the enhanced reputation of the management organisation. multi-stakeholders. This depended on the positive attitude of the stakeholders towards the organisation and the level of their influence on the various aspects of the decision making. In this regard, we counted a number of essential benefits which included higher decision quality; higher decision acceptance by stakeholders; satisfaction with the decision process; and development of decision-making skills. Authors (Anthony, 1978; Cooper and Wood, 1974; Maier, 1963; Mitchell; 1973; Strauss, 1963; Vroom and Yetton, 1973) have proposed several explanations for the positive effects of participation which include: (1) when people have considerable influence in making a decision they tend to identify with it and perceive it to be their decision. This feeling of ownership increases their motivation to implement it successfully; and (2) people are more

likely to perceive that they are being treated with dignity and respect when they have an opportunity to express opinions and preferences about a decision that will affect them.

13.5.3. The Intellectual Dimension of Professionalism

Another dimension of the professionalisation of the management of the Notting Hill Carnival, was the knowledge required for the skilful development and management of the change programme. The body of knowledge required derived from the expertise of the new management staff. This is concerned with the insights and management of tools required to efficiently perform the work of change management at a professional level. March and Smith (1995) suggest that these insights and tools are constituted by a “vocabulary” that serves to define and describe problems and challenges as well as a “language” in the form of conceptual frameworks, models and theories. Tawney (1921) perceived professionalism as a force capable of subjecting rampant individualism to the needs of a community. Marshall (1950) also emphasised altruism or the “service” orientation of professionalism and how professionalism might form a bulwark against threats to stable democratic processes.

The body of knowledge deployed at the Notting Hill Carnival was ethical in nature because, though marked differences existed between the expertise of the management staff and the various groups, there was a demonstration of joint decision-making. Mulder (1971) and Braten (1973) have analysed the consequences experimentally as well as theoretically, of involving groups of

widely differing expertise in collective decision making. They both come to concurrent conclusions: an increase in joint decision-making gives the group possessing most expertise the opportunity to influence the group with less expertise; and that increased participation will result in a fortification of the position of power of the expert group vis-à-vis the weaker group. However, one of the key findings of this research is that the organisation and management structure was designed to ensure that “no one person or group dominates the organisation”, and that “new ideas can be introduced to meet the challenge of growth and change”. The successful workings of these policies are attributed to the professional ethics and integrity of the professional management staff.

In these interpretations, we regard professionalism as an important and highly desirable aspect of the management structure. The professional relations were characterised as cooperative and mutually supportive. In this context, the behavioural dimensions refer to the work ethics of the professionals. This includes the co-ordination of work, the organisation of the work flow, and the evaluation of the outcomes. Furthermore, they provided the means of regulation, control and accountability.

As observed earlier, one of the major difficulties encountered was concerned with the “expectation” dimension which primarily refers to what the variety of stakeholders of the Notting Hill Carnival expected. It was the expectations of the stakeholders which inspired and guided the professional management staff to perform and to attain the high level of success, which in turn tended to unify or synthesise the organisation. Friedman and Miles (2002) observe one key

problem in that the multi-stakeholder approach is less developed in terms of legal entities, organisational designs and other guidelines, and that most practical solutions arising from the stakeholder approach focus on a single stakeholder. Understandably, dealing with the expectation dimension posed a considerable challenge which was overcome through the professionalism of the staff.

It is important to note that relations of trust characterised the management performance and interactions, since competencies were guaranteed by “specialised knowledge” and “specialised training”. Jackson (1970) says that some level of specialised training in the intellectual tradition of the discipline serves to guide professional behaviour and performance, and also provides a sense of authority and competence to the profession.

13.6. Implications and Attributes of Professionalism

13.6.1. Perspectives on Organisational Failures

Developing professional management for the revitalisation of the management of the Notting Hill Carnival is one of its greatest challenges. This chapter synthesises the main findings and conclusions arising from the revitalisation process and outlines the various paths for professionalising management practice and scholarship which arise from the process. It is easier to understand the process of professionalisation of management and its outcomes when the context in which it occurs can be experienced, evaluated and described. The credibility and authenticity of the process are bound with the role of the

researcher as Chairperson and Chief Executive of the organisation. This chapter examines findings from the research. This involves analysis of data from a variety of sources which include observation of managers and the organisation's archives in which are described the activities of the carnival managers. There are also interviews with these managers in which they describe what they do and why they do it, and analysis of their job descriptions.

There are questionnaires in which the carnival managers describe the importance and relevance of the different types of activities they undertake. One major reason for this approach has been to identify typical patterns of activity and behaviour that are common to all the professional management staff of the Notting Hill Carnival Trust. Another major reason has been the comparative analysis of the activity and behaviour patterns for different types of carnival managers and the situations in which they are involved. The analysis or studies show the extent to which the behaviour of the professional management staff underpins the requirements of given situations in the performance of their work. This section of the chapter also reviews the major findings about the nature, behaviour and activity of the carnival management staff. The focus of the management staff is primarily concerned with the development and maintenance of the organisational effectiveness of the NCT. To discover what they do and how they do it, the researcher has used methods such as direct observation, archives and document analysis and interviews. It is worth noting that Mintzberg (1973) used observation rather than survey to learn more about the content of managerial activities.

The management aspect of the Notting Hill Carnival has been in a state of confusion for a considerable number of years. The confused state of the carnival's management can be attributed in large part to the lack of professionalism in its management. Great strides were made in what we call the professionalisation of the management of the Carnival. This section deals with what has been learned about the meaning of professionalism in management. An integrating framework is presented to show how non-professionalism in management leads to organisational failures and difficulties. Taylor (1911), Drucker (1974) and other key pioneers in management thinking conceived of management as a "science-based professional activity that serves the greater good". The major findings from the lines of professional management at the Notting Hill Carnival are managers who face relentless and conflicting demands on their time. It is also found that a major carnival in a highly turbulent environment needs professional management to survive and prosper.

The adoption of the multi-stakeholder perspective provides useful insight about professional management actions that can improve the performance of the carnival management organisation. It is found that the professional managers develop an agenda of long-term objectives and strategies and take responsibility for dealing with them in a systematic way. The professional managers understand the constraints and demands of the carnival environment and accordingly adapt their behaviour. In order to establish the credibility and to enhance the reputation of the carnival management organisation, they develop a workable strategy which is built upon the core competencies and the values of the organisation. They encourage and facilitate a network of cooperative and

collaborative relationships among the artistic disciplines who represent a valuable and dependent carnival resource. They achieve this by establishing and maintaining co-operative relationships which are characterised by mutual trust and loyalty. Much of the activities of the professional managers involve attempts to influence the behaviour and attitudes of the carnival stakeholders, both internal and external.

One controversial issue is that the level of professionalism shown in the carnival management organisation is not the only determinant of organisational performance and viability. Aspects of the situation to be considered here are the institutional, cultural, macro-economic and other mechanisms and conditions which also affect organisational viability and performance. The professional managers at the Notting Hill Carnival create a condition and sense of urgency by dealing with and interpreting the external environment and focusing on threats and opportunities. They create an atmosphere of enthusiasm for change by articulating a relevant vision that addressed the needs, values and hopes of the carnival community. These are significant findings, because the research found that the nature and level of professionalism has become a thing of concern in view of catastrophic failures in organisations which are supposed to be professionally managed. Beer (2009) observed that many of the large banks on Wall Street that failed in 2008 were managed by people demonstrating anything but professionalism. This resulted in mismanagement of risks and a one-dimensional focus on short-term profitability.

The CEOs of these organisations “strayed from their strategies and took unwise and unsustainable risks, thus ignoring potential long-term consequences”. These are instances when managers demonstrate amateurism in situations where professionals are needed. Kenworthy and McMullan (2013) have pointed out that all the examples appear to have a common denominator: the low level of professionalism. In other words, it is non-professionalism or mismanagement on the part of the managers who fail to meet the growing demands and expectations of employees, investors and many other stakeholders. Romme (2016) also defines “professionalism” as the alignment between the incumbent profession’s (a) shared purpose; (b) body of knowledge; (c) actual behaviour in terms of actions and decisions; and (d) expectations held by various internal and external stakeholders. The professionalisation of the management of the Notting Hill Carnival is the result of the employment of key staff with a high level of competence and with a membership of a recognised professional body. On the professional sector, Friedman (2015, p.8) writes as follows:

Overall, professional bodies are more professionally run, more involved in ensuring their members are competent beyond initial qualification; more serious about complaints and discipline; more open and transparent about their ways of achieving public benefit.

13.6.2. The Purpose of Governance and Management

The case study identifies and analyses how professionalism in management is used to revitalise the management organisation of the Notting Hill Carnival from 1989 – 2002. It also focuses on the policies and strategies that are implemented by the management organisation in order to achieve the required organisational effectiveness. But in order to appreciate the lessons learned from the process or

the contribution that the process makes to knowledge, some explanation as to the purpose of management and governance is necessary. This presents a huge challenge because the management discipline is divided into two schools of thought. One argues that management's aim is to maximise shareholder wealth, whereas the other advocates balancing the claims of all the firm's stakeholders. Khurana and Nohria (2008) suggest that a broad consensus is being reached on the purpose and aims of management, but that any consensus will have to accommodate the notion of stakeholder value as well as the accountability required for a broad set of stakeholders. It is important to emphasise that the argument concerning shareholder value maximisation and multi-stakeholder management is essentially about the purpose of governance and management.

Therefore, the shareholder – stakeholder debate has major consequences for organisations owned by shareholders that have no other stake in the organisation than a financial one. The dispute concerning shareholder value maximisation and multi-stakeholder management seems to exemplify the lack of shared purpose and understanding. The corporate world faces the ongoing stream of investment debacles, accounting scandals, options-backdating schemes and other breaches of ethical standards. Martin (2011) suggests that this illustrates how wide-spread non-professionalism is in the corporate world.

Haney and Sirbrasku (2011) say that many managers struggle to lead and motivate their staff to realise objectives; and Argyris (2004) observes that there are major gaps and inconsistencies between what most managers say they do and what they actually do. As a result, about half of all managerial decisions

made in organisations fail. The failure of the shareholder value (SV) ideas appears to arise from short-termism, debt financing, false accounting, and stock options for managers. Walrave et al. (2011) observe that short-termism makes managers focus on increasing short-term value, rather than attending to the long-term performance and viability of the company.

Privately owned organisations and non-profit organisations face the challenges of defining the purpose and objectives of their organisations, and developing management systems and processes to realise these objectives. From the experience of the Notting Hill Carnival, it appears that these organisations will also benefit from the professional capability to define and accomplish organisational purposes and objectives, and effectively be held accountable by investors, employees and other constituencies. As observed earlier, the most prominent alternative for shareholder value maximisation is the multi-stakeholder approach which was adopted and successfully practiced by the Notting Hill Carnival Trust (NCT). This was a significant development and achievement because, as Freeman et al. (2007) suggest, one key problem here is that the multi-stakeholder approach, as the antithesis of the shareholder value approach, is less developed in terms of legal entities, organisational designs and other guidelines. Leading advocates of this approach consider the corporation as a social institution that promotes the development of its business in the interest of all stakeholders (Freeman, 1984). This is compatible with the system model concept of the NCT which defines patterns of interrelationships among the elements of the system which would make it most effective in the service of a given goal (Etzioni, 1960).

13.6.3. Value of Multi-Stakeholder Management

It appears that in the corporate world, managers have been so pre-occupied with so much short-term gains that they have neglected the purpose of management. As a result, they may be unaware of the financial problems that will affect their organisations. Additionally, they will need to question how their role should develop in regenerating the national economy. Thus, we can realise the tussle between the shareholder value concept and the stakeholder management concept, and its dramatic consequences for society at large. Bloom et al. (2015) have observed that globally there “appears to be so many very badly managed firms” compared to a small population of well-managed firms, the question of badly managed firms is in need of qualification.

The experience at the Notting Hill Carnival suggests that when it comes to professional excellence in management, it is a question of understanding the purpose of the organisation, and the vision being displayed by the managers to achieve it in the long-term. We also observe that when an organisation is characterised by a low level of professionalism, it is because there is hardly any competitive pressure and the managers have no access to any formal training in management. This is in tandem with the view of Romme (2016) when he states that the key challenge in professionalisation is not to erase all forms of amateurism, but to make high levels of professionalism the norm rather than the exception. Raising the overall level of professionalism in management at the Notting Hill Carnival had meant changes in policies; more realism on the part of the carnival community; and a flowering of the financial strength of the organisation. Managing a rapidly changing and increasingly complex

organisation were all managerial challenges of the highest order. Bloom et al. (2012, 2015) demonstrate that the level and quality, or what they call management technology, has a strong effect on firm performance.

Therefore, the preferred high level of professionalism in management practices is not only in the interest of few shareholders and managers, but is also of great importance for all other stakeholders. Berman et al. (2011) have also indicated that professionalism is a major challenge in public management and governance. It is pointed out that many democratically elected governments have long been unable to tackle issues like high public debt levels, widespread poverty, and increasing unemployment. Dalton (2005) and Ansell (2011) observe that public administrators suffer from high levels of distrust in public institutions and a growing sense of powerlessness among many citizens. It has also been observed by Bower et al. (2013) that common-sense suggests that the “exceptional” levels of support and trust are far too low for any institution to function in a professional manner. The main challenge is the daunting ability to balance the claims of all stakeholders of an organisation in order to gain their support and trust.

The Notting Hill Carnival’s experience suggests that this cannot be achieved through a method of management which aims at a machine-like efficiency at the expense of satisfaction and good morale generally. Post et al. (2002) maintain that the central idea is that an organisation creates or destroys value through interactions with its stakeholders. Effective stakeholder management therefore involves developing and utilising relationships with these stakeholders for mutual

benefit. As demonstrated at the Notting Hill Carnival, the multi-stakeholder perspective has a strong ethical foundation and dimension in which values, purpose and community or societal interests play the most important role.

13.7. The Future of Professionalism in Management

13.7.1. The Foundations of Effective Management

This thesis brings together a number of ideas and themes that equate to organisational effectiveness through effective management. It raises the need for revitalisation of professionalism in management because, as pointed out by Romme (2016), the societal costs and damage caused by managerial amateurism are huge. This fact has also been ably demonstrated by the experience of the Notting Hill Carnival from 1989 to 2002. This research is also about how to address the grand challenge by the identification of the key factors or pillars which support and strengthen the practice of professionalism in management at large. Without the recognition of these pillars and their enhancement or strengthening, any attempt at professionalisation of management is doomed to fail. As demonstrated at the Notting Hill Carnival, one of these pillars is concerned with the concept of participative management. This involves the use of various decision procedures that allow other people some influence over the management decisions. Romme (2016) demonstrates that the professionalisation quest has to move away from the idea of management being confined to a few people at the top, toward management as a technology for distributing power and leadership throughout the organisation. Some aspects of the participative management practice at the Notting Hill Carnival include

consultation, joint decision making, power sharing, decentralisation and democratic management.

As observed earlier, the professionalisation of management occurs through four generative mechanisms or dimensions. These are purpose, knowledge, behaviour and expectation. At the heart of any participative management is the vocational dimension which arises from a shared sense of purpose. This is a “commitment to a good broader than self-interest” (Despotidou and Prostacos (2012), or what Khurana and Nohria (2008) call a professional code. It is the dimension of stored purpose which provides the management profession with a collective identity and also forges an implicit social contract with society. The members of the profession are recruited by society to perform a particular set of tasks. In return, the profession ensures the societal stakeholders that its professionals are worthy of being trusted to dutifully carry out the tasks.

Frankel (1989) identifies three types of professional purpose that act as a foundation and guide for professional conduct in the face of morally ambiguous situations: “aspirational”, “educational” and “regulatory”. The extent to which the professionalisation developed at the Notting Hill Carnival depended on the fact that we focused on the aspirational dimension of professional purpose and its impact on the effectiveness of the management.

13.7.2. The Professional Management Challenge

As indicated, this research is about the impact of professionalism on organisational effectiveness. The primary focus is on professional management as opposed to amateurish management. The research presents a broad survey of theory and practical application of professionalism in a charitable not-for-profit organisation. The topic of professionalism in management is of special interest and importance to society and the question of what makes an organisation effective. It is an attempt to convey a better appreciation of the complexity of professional management, the importance of having theoretical knowledge about the subject, and the need to be pragmatic in the application of professionalism in organisations.

As noted, the dispute on shareholder value maximisation and multi-stakeholder management underscores the lack of shared purpose and understanding of what professionalism means in its application in organisations. Johnson (1972) observes that in many occupations, professionalism initially involves a struggle for power, prestige, status, income and privileges. But, Jackson (1970) emphasised the intellectual nuance of professionalism as a key factor in developing professions such as law and medicine. This has been, and still is considered as “the institution of the intellectual”. As observed earlier, the main challenge for professional management is about reaching a broad consensus on the purpose and aims of management. This is a huge challenge because of the division of the management discipline into two schools of thought. It is whether the management should aim to maximise shareholder wealth or to balance the

claims of all the firm's stakeholders. At the Notting Hill Carnival, we acknowledged and practiced the multi-stakeholder management approach.

Much of the expertise and skill which were essential to the effectiveness of the management derived from the professionalism of the management staff. Thus, another professionalisation mechanism is the knowledge base that the management profession can claim. The claim points to the body of knowledge on which management professionals can draw. In other words, professionalism is a body of knowledge informed by both creative discovery and scientific validation. This body of knowledge is said to have two key interdependent elements: expertise and value. According to March and Smith (1995) professionals draw on expertise in the form of insights and tools, which in turn are based on a "vocabulary" that serves to define and describe problems and challenges as well as "language" in the form of conceptual frameworks, models and theories. Myers and Thompson (2006) also say that all professional expertise, including the scholarship involved, is inherently ethical in nature. Therefore, the values that guide professional conduct and work are explicit elements of a professional body of knowledge. Adler et al. (2008) have affirmed that these values constitute the normative dimension of any professional activity and are a key mechanism for ensuring its capacity to guide professional work. At the Notting Hill Carnival, professional values and expertise together constituted a strong foundation for effective management, resulting in organisational effectiveness in a complex and turbulent carnival environment. According to Flyvberg (2006) when managers and their stakeholders misrepresent and lose

sight of their professional values in highly turbulent and complex settings, their professional conduct and performance is also compromised.

The research demonstrates that a strong achievement or success orientation was a source of motivation of the stakeholders to strive for excellence, and to pursue creative improvements. Strong management expertise and cognitive skills, and relevant carnival knowledge helped us to recognise threats and opportunities in the external carnival environment and to formulate the appropriate strategy based on the core managerial competencies of the Notting Hill Carnival Trust. Additionally, socialised power orientation, strong ethics, integrity and a high level of moral development were found in the NCT. Thus, the primary concern of the management staff was the welfare of the Carnival's multi-stakeholders, and not their own career development or personal gain.

We are here concerned with the behavioural dimension of professionalisation, which is defined as "how professionals divide and co-ordinate work, organise the workflow, monitor the quality of their work and that of others, perform on key outcome measures, account for their performance etc". But, Argyris et al. (1985) and Van Maanen and Barley (1984) have hinted that the actual behaviour of practitioners and scholars in the profession may raise gaps and tensions between the purpose and values they espouse and those actually being used, particularly when these diverge. The assessment of the level of professionalism raises the counter-argument that it is extrapolating from a few non-performers. Kelly (2009) and Willis (2013) have observed that there are many examples of highly professional managers and management practices, the most prominent

ones being celebrated as global role models. However, these examples represent small pockets of professional excellence that are exceptions to the rule, rather than reflecting the standard case.

Finally, we are concerned with the expectation dimension which primarily refers to what a variety of stakeholders expects of the management profession. The difficulties encountered in the evaluation of the organisational effectiveness of the NCT included the multiple criteria with the complex trade-offs and stakeholders with conflicting interests. The actions that benefited or served the interest of one group of stakeholders might be contrary to the interests of other groups. We discovered that when the stakeholders' interests were incompatible, it was more difficult to evaluate the effectiveness of the organisation. Thus, efforts were made to balance the competing values and interests of the large number of stakeholders inside and outside the Carnival. Block (1993) and Sharp-Paine (1994) hold the perspective that managers should serve multiple stakeholders inside and outside of the organisation. Therefore, our evaluation of management performance took into account the extent to which the NCT was able to balance and integrate the interests of all the different stakeholders within the constraints imposed by legal and contractual obligations.

Established notions of management hold that it is unethical to deliberately manipulate stakeholders to do something contrary to their self-interest by making false promises, is deceiving them about likely outcomes. Thus, true professional managers raise high expectations among stakeholders, and in turn, these expectations inspire and guide professionals to perform and deliver their best.

Their performance may be in tune with the conditions and regulations for entry to the profession as well as sanctions and penalties regarding unprofessional conduct. Abbott (1988) says that these regulatory and institutional mechanisms may arise as outcomes of “successful” professionalisation trajectories.

13.7.3. Developing and Mastering Management Skills

Management is described as the skill or practice of controlling, directing or planning the activities of an organisation. It is a subject that has long excited interest among people because of its importance or significance in organisations such as business corporations, government, hospitals, legal firms, universities etc. Some progress has been made in probing the mysteries surrounding “management” but many questions remain unanswered because of the special skills required for a total and effective management. The confusion is caused by the fusion of the management profession with other professions that it is supposed to serve. For example, the management of the Notting Hill Carnival depended on people who thought that because they were professional carnival artists, then they should be able to manage the carnival management organisation without any training in management. As the research shows, it was this lackadaisical and amateurish attitude towards the management of a complex carnival management organisation that resulted in its ineffectiveness. Similarly, the question arises: Should a medical doctor manage a complex hospital because he or she is a health professional or should a lawyer manage a complex legal firm on the strength of his or her legal knowledge alone?

Based on the findings arising from the Notting Hill Carnival, there are two aspects to understanding how to make a complex organisation more effective from the angle of its management. It is either the employment of specialist management professionals or by training the members of the incumbent profession in the science of management. We are here concerned with what abilities, behaviours or aspects of managerial efforts determine how well a manager is able to influence multi-stakeholders and accomplish organisational objectives. It is acknowledged that the professionalisation of management must aim to intelligently serve society by connecting and co-ordinating the resources of an organisation. This implies that we have to employ a body of knowledge that the professional management staff would be able to claim and apply. The question that arises and that needs to be answered is “What constitutes a professional body of knowledge and how it can underpin or facilitate the process of management. It is maintained that, that body of knowledge arises from creative discovery as well as scientific validation.

We believe that it is important for managers to understand the complexity of organisational effectiveness, the source of the knowledge about management of organisations, and the limitations of this knowledge. In dealing with the challenges of management, it is easier for managers to find helpful remedies and prescriptions than in finding out how this knowledge was discovered and the authenticity of that knowledge. Therefore, we deem it important to throw some light on how discovery and validation inform the discourse on management practices in terms of their constituent values, constructs, models and principles.

Kessler and Bartunek (2014) have recommended that management scholars “might learn to think like cartographers – sharpening and harmonising their maps and their boundaries to understand the design of a management landscape more comprehensively”. Our view of the academic literature suggests that the field of management science is still in a state of ferment with many controversies about conceptual and methodological issues. It is also noted that most elements of a professional body of knowledge on management are present but in a scattered and fragmented manner.

In order to convey a further understanding of what is termed as a body of knowledge, we have to look at the definition of “knowledge”. Bell (1973, p.XC) defines knowledge as a “set of organised statements of facts or ideas presenting a reasoned judgement or an experimental result which is transmitted to others through some communication medium in some systematic form”. Others like Hayek(1945) and Tsoukas (1996) have questioned this kind of definition as being too narrow in nature. Wikipedia (2017) offers a broader and more inclusive definition of knowledge as “a familiarity, awareness or understanding of someone or something, such as information, facts, description, or skills, which is acquired through experience or education by perceiving, discovering or learning”. To come to grips with the subject matter of body of knowledge, we shall turn our attention to Krippendorff (2006) who suggests that a professional body of knowledge involves the concepts, terms and activities that make up the incumbent profession and serve to keep the discourse on its practices viable and productive.

The fabric of professionalism is considered in the light of: a distinct body of knowledge, barriers to entry, serving the public and mutual recognition. Sharma (1997) synthesised the literature to define the professional as one who applies a body of knowledge and techniques acquired through training and experience, has a service orientation and distinctive ethics, and a great deal of autonomy and prestige. Thus, knowledge is central to the profession and it is their distinctive competence. It is also important to emphasise that an important aspect of the cognitive element of the professional institution is the control of what constitutes the corpus of knowledge. Freidson (2001) says that the control of knowledge through formal training institutions is important to the professions themselves. He further noted that the professional is seen to be a specialist who can take abstract concepts and, in applying them, uses discretion. It is in the impartial application of knowledge that professionals remain distinctive and that their approach to problems has validity. According to Evetts (2003) these skills enable them to deal with uncertainty and risk, and especially if their work is backed up with insurance and the sanction of expulsion for those who fail to carry out satisfactory work.

13.8. Contribution to Knowledge

The rapid growth of the Notting Hill Carnival, the increased rate of change in the external environment, and the challenges facing the management organisation suggest that the organisational effectiveness will require a higher level of skill and new competencies. The research highlights and illustrates the critical

importance and value of professionalism in management for the achievement of the required organisational effectiveness.

The presentation generally follows the sequence in which the case study is organised. To achieve our objectives, the researcher has used descriptive methods such as direct observation, data analysis and management, and the various dimensions of research analysis. For the avoidance of methodological biases or to ensure the quality of the research, the design is subject to four tests. According to the US Government Accountability Office (1990), cited in Yin (2009, p.40), concepts that have been offered for these tests include trustworthiness, credibility, confirmability, and data dependability. Kidder and Judd (1986) also summarise the four tests as construct validity, internal validity, external validity and reliability. In this research, these tests occur in our data collection and composition, data analysis, and research design to underpin the aim and objectives of the research.

The analysis of information is done as objectively as possible and preferably from the point of view of the carnival management staff who, between them, cover the range of professional expertise called for by the research. The numerical values serve to bring order into the research and to organise and give

relative importance to the qualitative judgements that are made. For the achievement of the objectives, the research in its broadest sense takes place at three levels:

- (i) The demonstration of the importance and value of professionalism in management
- (ii) The analysis of the policies and strategies of the change management initiative of the Notting Hill Carnival Trust
- (iii) The enhancement of the credibility and reputation of the Notting Hill Carnival through organisational effectiveness.

Trying to summarise the lessons of the Notting Hill Carnival's experience in a single chapter is a daunting task. We can only highlight the more important lessons, with no expectation of doing justice to the many issues and problems that these lessons raise. With so many factors at work, it is not surprising that a "simple" lesson such as the observation that management currently is not a profession, can be backed by many sobering facts which include the following:

- Haney and Sirbrasku (2011) have observed that many managers, even those with degrees obtained at business schools, struggle to lead and motivate their staff to realise objectives. Argyris et al (1985) say that there are major gaps and inconsistencies between what most managers say they do and what they actually do. Nutt (1999, 2011) says that as a result of this, about half of all managerial decisions made in organisations fail. Elias and Scotson (1994) have observed that this amateurism in managerial practices is widely accepted as normal and inevitable,

because employees, investors, journalists, and others tend to be ignorant of it.

- According to Bowman and West (2011) the quest for professionalism in management is also a major challenge in public management and governance. Many democratically chosen governments have long been unable to tackle, for example, high public debt levels, widespread poverty and increasing unemployment. Martin (2011) maintains that in the corporate world, the ongoing stream of investment debacles, accounting scandals, options-backdating schemes, and other breaches of ethical standard illustrate how widespread non-professionalism is.

The gap between brilliant management science solutions and the translation of these solutions into practical and profitable management action has long been recognised. Despite the persistence of this problem and its increasing importance, there has been little hard fact research on either the cause of the problem or the appropriate solution to the problem. For the most part, the discussions in the management literature have been conceptual, and usually begin by saying that management should provide opportunities for developing professional skills that align actual and espoused behaviour. Our own experience in the field makes it possible for us to examine the question from another vantage point. We have to explore the unresolved debate between shareholder value maximisation and stakeholder management advocates, and

its dramatic consequences for society-at-large. As noted, the shareholder versus stakeholder debate has major consequences for organisations owned by shareholders that have no other stake in the organisation than a financial one. But the pioneers in management thinking and practice such as Taylor and Drucker conceived of management as “a science-based professional activity that serves the greater good”.

Evidence of professionalisation concerns governance arrangements that focus on the shareholder value approach by many of the large banks on Wall Street that failed so badly in 2008. It is noted that these banks are managed by people demonstrating anything but professionalism, resulting in mismanagement of risks and a one-dimensional focus on short-term profitability. The management of these organisations ignore the potential long-term consequences of their actions. The managers of these organisations demonstrate amateurism in situations where professionals are needed. This situation is comparable to the chaotic position of the carnival management organisation before 1989. Therefore, in order to appreciate the lessons learned from the Notting Hill Carnival and its contribution to knowledge, the dispute concerning shareholder value maximisation and multi-stakeholder management approaches must be revisited. The research demonstrates that the most prominent alternative for shareholder

value maximisation is the multi-stakeholder management approach which is adopted and successfully practiced by the Notting Hill Carnival Trust.

This must be a significant development and achievement because, as Freeman et al. (2001) suggest, one key problem here is that the multi-stakeholder approach, as the antithesis of the shareholder value approach, is less developed in terms of legal entities, organisational designs and other guidelines. The multi-stakeholder model practised by the NCT, considers the organisation as a social institution that promotes the development of its business in the interest of all stakeholders. The experience of the Notting Hill Carnival also suggests that when managers are pre-occupied with short-term gains they neglect the purpose of management. Therefore, when it comes to professional excellence in management, it is a question of understanding the purpose of the organisation and the vision being displayed by the managers to achieve it in the long-term. The preferred high level of professionalism in management practices is not only in the interest of a few shareholders and managers, but is also of great importance for all other stakeholders. It is only thus that a similar failure of the large banks on Wall Street may be avoided.

As demonstrated at the Notting Hill Carnival, the multi-stakeholder perspective has a strong ethical foundation and dimension in which values, purpose and community or societal interests play the most important role. This arises from the professional ability to balance the claims of all stakeholders of an organisation in order to gain their support and trust to ensure its stability. The role of professional bodies in the professionalisation of management should not be under-estimated. As pointed out by the Professional Body Sector Review (2015, p.8) professional bodies are clearly responsible for developing, maintaining and promulgating standards of the technical and ethical competence of individual practitioners. In this, many regard relations with organisations that employ their members or registrants to be important.

13.9. Recommendations for Further Research

The professionalisation of management should result in establishing conditions and regulations for entry to the profession, as well as sanctions and penalties regarding unprofessional conduct. For example, the built environment professional institutions used to provide their own training schemes, graduate entry schemes into the professions. This means that universities have a major input into the professions but the professional institutions do exercise a significant role in the accreditation of courses and curricula. Furthermore, the universities do not merely train and certify, they educate in a wider sense while

the leading research-driven institutions refine, expand, and systematise the relevant body of knowledge and skill. Thus, academic and professional societies such as the Academy of Management (AOM) and professional bodies and associations such as the Chartered Institute of Management (CMI) can play a key role in creating and sustaining the skills needed to further professionalise management. But, according to Lee (1995) and Suddably et al. (2009) there is hardly any research addressing the role of these societies and associations in developing and growing the level of professionalism in management, in contrast to, for example, accounting.

The difference with other disciplines such as law, accounting and medicine is that there are no professional bodies in management that effectively operate across the academic practitioner divide. The problem is that the membership of academic societies is primarily academic in nature, and the management professional bodies are almost entirely focused on practice. This means that the fora, meetings and online social networks initiated and orchestrated by these organisations are highly skewed toward the academic or the practitioner world. It is held that the direct influence of academic thinking on professional practice offers the opportunity for critiques and development. A research-led university should have a role in enabling the next generation of professionals to be aware of and engage with the debate on changing belief systems and cultural frames. Thus, we have a mechanism by which both normative systems and cognitive frames are questioned and made relevant. But, this is not automatic maintenance described by Jefferson (1991), which flows from the fact that the

way of thinking within the socio-institution is simply taken for granted and therefore perpetuated.

Of course, there is not a stark separation between academia and practice. The professions influence what the universities teach through a process of accreditation. Therefore, any attempt to create a trading zone that promotes and sustains genuine dialogue between academia and practice would have to be supported and sponsored by the established associations e.g. Chartered Management Institute. Evidently, any initiative in this area can learn from the experiences and attempts in other disciplines to develop more civic forms of professionalism and to build or rebuild the incumbent profession's status and reputation in society (Sullivan 2000; Adler et al. 2008). One insight arising from other disciplines is that a professional institution will only recognise certain programmes at particular universities whose course content is developed through various kinds of relationship between universities and professions. Thus, professions take part in defining what universities teach to varying extents and so can ensure perpetuation of ideas and norms. A key barrier for professionalising management also arises from the tribal nature of behaviour of management practitioners and scholars alike. Most management scholars hardly ever or never engage with practice, and only talk to and write for their own tribes (Romme, 2016).

The professionalisation of the management of the Notting Hill Carnival was brought about through the recruitment of professionals from the legal, accounting, operations management and marketing disciplines. In this regard,

we can say that professional management is as much about the knowledge and evidence informing professionalism as it is about the people using the knowledge. Business corporations like British Airways and Tesco and charitable organisations like Oxfam and Save the Children are similarly structured in their employment of professionals from various disciplines. In these areas, professionalism and the related notions of performance and results have become tightly coupled to financial performance and other outcomes. Our point of view is that the idea of management has become confined to a few people at the top of the organisation who are notably members of other professional disciplines, and not from a specific professional management discipline. It is also notable that, for most people, words like “management” and “managing” immediately evoke the image of someone in a leadership position.

Zahra et al. (2006) and Teece (2007) have observed that if the organisation performs at a superior level in terms of, for example, profitability, then the leadership of the organisation apparently possesses a large professional capability; if this performance is not superior, its leadership apparently scores lower on professionalism. Chemers (1997) says that as a construct, leadership can be defined as the process of social influence in which a person can enlist the aid and support of others in accomplishing common tasks. It is also noticed from the works of Anderson and Escher (2010) and Covey (1989) that this notion of leadership informs both popular wisdom on management and many theories in this area, especially those that attribute organisational success and failure largely to leadership. A prominent example is the case of the Notting Hill Carnival where organisational roles were adapted or made to fit the

circumstances of the organisation. Therefore, should the professionalisation of management be an issue of management as a discipline for the attainment of organisational effectiveness, or should we rather focus on the determinants of leadership effectiveness?

Bennis and Nanus (1985) and Zaleznik (2004) contend that leadership and management are qualitatively different and mutually exclusive. The most extreme distinction involves the assumption that management and leadership cannot occur in the same person. In other words, some people are managers and others are leaders. Bennis and Nanus (1985) proposed that “managers are people who do things right and leaders are people who do the right thing”. It is also noted that managers value stability, order and efficiency, whereas leaders value flexibility, innovation and adaptation. The argument leads to conclusions relating to the definition of professionalism which serves to characterise the current state of the management discipline. In itself, this definition does not provide any directions toward future solutions in terms of the management of complex organisations. Therefore, instead of just focusing on defining professionalism in management, we should also define professionalism in leadership. The purpose is to identify leaders; to determine how they are selected; to discover what they do; to discover why they are effective; and maybe to determine whether they are necessary. Karmel (1978, p.476) has noted that: “It is consequently very difficult to settle on a single definition of leadership that is general enough to accommodate these many meanings and specific enough to serve as an operationalisation of the variables”. Despite this difficulty, our question remains: For the attainment of organisational

effectiveness, should we focus on professionalism in management or professionalism in leadership?

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