33rd Annual Australian & New Zealand
Academy of Management Conference

WICKED SOLUTIONS TO WICKED PROBLEMS

THE CHALLENGES FACING MANAGEMENT RESEARCH AND PRACTICE

3–6 December 2019
Cairns, Queensland, Australia

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ANZAM
AUSTRALIAN & NEW ZEALAND ACADEMY OF MANAGEMENT

CQUniversity AUSTRALIA

Proudly hosted by the School of Business and Law, CQUniversity Australia at the Pullman Cairns International Hotel in Cairns, North Queensland.

2019 PROGRAM

33rd Annual Australian & New Zealand Academy of Management Conference

STREAM		STREAM CHAIRS
WSWP	Wicked Solutions to Wicked Problems: The Challenges Facing Management Research and Practice	Dr Stephanie Macht Professor Ross Chapman Professor Anneke Fitzgerald
ESSB	Entrepreneurship, Start-Ups and Small Business	Dr Tanya Jurado Dr Martina Battisti
GDI	Gender, Diversity and Indigeneity	Dr Diane Ruwhiu Dr Diana Rajendran
HMO	Health Management & Organisation	Associate Professor Ann Dadich Dr Louise Kippist
HRM	Human Resource Management	Dr Beni Halvorsen Dr Justine Ferrer
IM	International Management	Professor Pi-Shen Seet Dr Shea Fan
LGS	Leadership, Governance and Strategy	Associate Professor Herman Tse Dr Marie dela Rama Dr Conor O'Kane
MELT	Management Education, Learning and Teaching	Dr Peter McLean Dr Christa Wood
MCR	Marketing, Communication and Retail	Associate Professor Sujana Adapa Dr Sandra Smith
OB	Organisational Behaviour	Dr Andrei Lux Associate Professor Joe Jiang
POW	Processes of Work	Associate Professor Ashish Malik Dr Subas Dhakal
PSNFP	Public Sector Management and Not-for-Profit	Dr Wayne Fallon Dr Ataus Samad
SSM	Sustainability and Social Issues in Management	Dr Tim Williams Associate Professor Gabriel Eweje
TISCM	Technology, Innovation & Supply Chain Management	Associate Professor Arun Elias Dr Matthew Pepper
DEL	Delivered Paper Session	
INT	Interactive Paper Session	
WS	Workshop	

TUESDAY 3 DECEMBER 2019

0800-0830	Doctoral Workshop Registration (Registrations for Doctoral Workshop now closed)	
0830-1730	Doctoral Workshop (Doctoral Workshop Delegates only)	
1730-1800	Welcome for First-Time Delegates	Daintree's Pooldeck, Pullman Cairns International
1800-2000	Conference Welcome Reception and Registration	

WEDNESDAY 4 DECEMBER 2019

0800	Registration opens									Grand Ballroom Foyer
0830-0900	Session Chair briefing (for delegates who are confirmed Session Chairs). Facilitator: Associate Professor Bevan Catley									Tully 1
0900-0915	Official Welcome to Country									Grand Ballroom
0915-0930	Official Opening of the 33rd ANZAM Conference by Professor Lee Di Milia, Dean – School of Business and Law, CQUniversity									Grand Ballroom
0930-0950	ANZAM President's Welcome									Grand Ballroom
0950-1000	ANZAM LOC Chair's Welcome									Grand Ballroom
1000-1100	ANZAM Keynote Address: Professor Chris Brewster 'Wicked Problems (and Proposed Wicked Solutions) in Management Research' Chair: Dr Stephanie Macht									Grand Ballroom
1100-1130	**MORNING TEA**									**Grand Ballroom Foyer**
1130-1310	**CONCURRENT SESSION ONE (100 MINS)**									
	Delivered Sessions					**Interactive Sessions**			**Workshops**	
Room	Kuranda Ballroom	Mossman Ballroom	Tully 1	Tully 2	Tully 3	Rosser	Boardroom 1	Boardroom 2	Bluewater 1	Bluewater 2
Stream	WSWP DEL 1	OB DEL 1	HRM DEL 1	GDI DEL 1	LGS/GDI DEL	ESSB INT 1	PSNFP INT	MELT INT 1	WS 1	WS 2
Chair	Jerry Sheppard	Xiaowen Hu	Paula O'Kane	Diana Rajendran	Dhirendra Mani Shukla	Catherine Bowen	Geoff Plimmer	Peter McLean & Christa Wood		
1130	*System traps in long-term disaster recovery: why resilience and wellbeing need a different strategy* Hitomi Nakanishi; Deborah Blackman; Ben Freyens; Girish Prayag	*Situating Employees in Organizational Change: A Systematic Meta-Review* Paulette Brazzale; Helena Cooper-Thomas; Jarrod Haar; Roy Smollan	*"Judging the judges": Exploration of job demands and burnout in the Sri Lankan judiciary* Sanduni Gunawardena; Michael O' Donnell; Sue Williamson	*A structural theory of action perspective on women quitting their careers* Mariam Mohsin; Jawad Syed	*Independent non-executive director's role and company value: Misplaced loyalties or institutional clash* Maria Aluchna; Jyoti Devi (Brinda) Mahadeo; Bogumil Kaminski	*Exploring how interactions enable innovation and regulation: the case of regulatory sandboxes* Ahmad Alaassar; Anne-Laure Mention; Tor Helge Aas *The Digital Entrepreneur -Toward a Definition* Angela Bancilhon; Geoffrey Chapman; Stephanie Macht; Julian Teicher *Fluid entrepreneurial motivations in an emerging context* Emiel Eijdenberg; Nsubili Isaga; Leonard Paas; Enno Masurel *Career outcomes post-entrepreneurship* Leigh Mellish; Siran Zhan	*Aesthetic Consumption in Arts Organisations Management: An Autoethnographic Inquiry* Bianca Araujo; Eduardo Davel; Ruth Rentschler *Regulatory Governance and the Problems of Public-Private Partnerships (PPPs) model in the Bangladesh Power Generation Sector* AKM Fazlul Hoque; Quamrul Alam; Julian Teicher *Basic needs community mental health development: An exploration of the perspectives of key stakeholders* Parveen Kalliath; Thomas Kalliath	*A Conceptual Model for Engaging Online MBA Students* Aaron Wijeratne; Mamun Ala; Danilo Wegner *Real World Exposure: Interpersonal Skills Development and Simulation in an MBA Financial Analytics Course* Kendall Herbert; David Goodwin; Ling MeiCong *Validity Analysis of Selection Process for MBA Admission: A Case from India* Amit Shukla *Reflection in Higher Education* Theodora Issa; Tomayess Issa; Rohini Balaqoumi; Lydia Maketo; Umera Imtinan	*Social innovation in the classroom, a transformative learning experience?* Tobias Andreasson	*Editor Perspectives on the Craft of Peer Review* Kevin Lowe Panellists include: Brad Jackson; Peter Jordan; Sarah Robinson; Herman Tse; Oluremi Ayoko
1150	*Are grand challenges wicked problems and why does it matter?* Yat Ming Ooi; Kenneth Husted	*Identity aspirations and legitimacy in a complex environment* Emmanuel Mastio; Caroline Mothe	*Factors Affecting the Employee-Turnover Rate in the Garment Industry of Bangladesh: Some Organization-level Evidence* Gazi Hossain; Yeon Kim	*Feeling exposed in open plan work environments – More than just the "male gaze"* Rachel Morrison; Roy Smollan	*The Contribution of Project Managers' Soft Skills to their Project Success* Richa Gulati; Carmen Haule Reachie; Sam Baroudi; Indra Gunawan					

WEDNESDAY 4 DECEMBER 2019

1210	*Addressing wicked problems: Implementing innovations when facing stakeholder resistance* Alexandra Vahl; Eelko Huizingh; Nathalie Sick	*Understanding learning organizations in practice: A New Zealand case study* Kala Retna	*The Hardest Part of My Job is to Say 'No' To Volunteers: An Exemplary Model of Volunteer Management Within A Food Rescue Organisation* Xiaoyan (Christiana) Liang; Upamali Amarakoon; Susan Bird; David Pearson	*Role of institution in the political empowerment of women: A study on women development forum in Bangladesh* Pranab Panday; Quamrul Alam	*The mechanisms through which ethical leadership influence employee in-role performance* Narges Kia; Beni Halvorsen; Timothy Bartram	*Attitudes and Belief Structure in Shaping Entrepreneurial Intention: The Role of Gender and Family Entrepreneurial Background* Muhammad Shariat Ullah; Minhajul Islam Ukil	*Exploring the relationship between financial literacy and citizen participation in investment. Moderating role of government website use.* Muhammad Jawad Malik; Muhammad Rizwan Kamran; Guijian Liu	*Management education, competency, andragogy and Business Simulations* Michael Segon; Chris Booth			
1230	*Concretising Europe-Asia collaboration for sustainabilty – the development of strategy maps and sustainability scorecards* Alf Westelius; Carl-Johan Petri	*Facebook usage and transition from introversion to extraversion: A perception study of Facebook users* Pallavi Srivastava; Shilpi Jain	*Machiavellianism, Abusive Supervision, Job Burnout and Task Performance: A Cross-level Dyadic Sequential Analysis* Louise Tourigny; Sharjeel Saleem; Aqsa Gohar	*Is there a gender- and non-English-speaking-pay gap among skill discounted migrants?* Gerry Treuren; Vidya Vishnu; Ashokkumar Manoharan	*Comparing models of follower outcomes: Constructive and destructive leader behavior* Tago Mharapara; Helena Cooper-Thomas; Ann Hutchison		*Can wicked problems be tackled creatively as wicked communication problems? Engagement, fractiousness and possibilities in one local government situation* David McKie; Paula Trubshaw; Paul Willis				
1250	*Nurturing engineering professionals' care focused values through sustainability focused engineering: A path to gender inclusive work culture* Kanchana Wijayawardena; Shamika Almeida; Timothy McCarthy	*Employee Perceptions of Corporate Ethical Values: Effects on Person-Organisation Fit, Alienation from Work, and Job Satisfaction* Mehran Nejati; Yashar Salamzadeh; Deeban Naransamy Gondar	*Researching the implications of artificial intelligence to human relations: A call for a new sub-discipline* David Pick; Christine Symons; Fernando Porta; Sten Langmann	*Gender diversity and corporate risk-taking: Do women directors reduce corporate risk?* Subba Yarram; Sujana Adapa	*Helping or hindering? Exploring the Managing Diversity Literature Dichotomies and Dilemmas in Practice.* Carolina Bouten-Pinto; Maree Boyle						
1310-1410	**LUNCH**									**Grand Ballroom Foyer**	
1410-1550	**CONCURRENT SESSION TWO (100 MINS)**										
	Delivered Sessions					**Interactive Sessions**			**Workshops**		
Room	Kuranda Ballroom	Mossman Ballroom	Tully 1	Tully 2	Tully 3	Agincourt	Boardroom 1	Boardroom 2	Bluewater 1	Rosser	Bluewater 2
Stream	TISCM DEL 1	OB/HRM DEL	HMO DEL	GDI DEL 2	MELT DEL 1	LGS/OB/SSM INT	MCR INT	SSM INT	WS 3	WS 4	WS 5
Chair	Oriana Price	Shahid Khan	Yvonne Brunetto	Hafsa Ahmed	Peter McLean & Christa Wood	Quamrul Alam	Sujana Adapa	Michael Segon			
1410	*Drivers and Barriers to Digital Transformation in Agri-Food Supply Chains* Imran Ali; Malcolm Johnson	*Wicked Nuances: Cross-level Values, Relationship Conflict and Trust in Teams* Ju Li Ng; Kevin Lowe	*Building Mental Health Networks – in Search of a Best Practice Model* Fran Ackermann; Georgina Hill; Helen McGowan	*Skilled migrants' psychological workplace wellbeing and community embeddedness* Farveh Farivar; Rosalyn Cameron; Jaya Dantas	*How experiential learning can develop leadership capability in humanitarian leaders* Emma Watton; Veronica Bell; Scott Lichtenstein	*The development of a contextualised leadership development model and instrument for Sydney Anglican clergy* Archie Poulos	*Towards trust and protective actions: The role of risk communication and context during natural hazards* Lisa Bradley; Amisha Mehta; Sophie Miller	*Framing Circularity* Suzanne Benn; Robert Perey; Melissa Edwards	*My Brilliant Career: Building an academic career in the 21st century* Peter Holland; Ruth McPhail; Chris Brewster; Renee Paulet; Alan Montague; Christiana Liang; Andrei Lux; Lee Di Milia	*High Engagement and Student Focussed: Block Model Delivery of an Introduction to Management Unit of Study* Alan McWilliams	*Academic Activism: The enduring legacy of Indigenous management scholarship* Diane Ruwhiu; Mark Jones; Mark Rose

1430	*Barriers to innovation and technology adoption in the field of 3D-metal printing – A qualitative investigation* Pradipta Chatterjee; Steven Greenland; David Low; Rebecca Murray	*"Yes, and"-ing with a point: A strategic organizational behavior approach to understanding competent improvisation* Jesse Olsen	*Managing diversity in high-reliability teams in the emergency department* Grace Williams; Gemma Irving; April Wright	*Culturally diverse legal professionals in Australia: Examining career barriers experienced by legal professionals with an Asian cultural background* Amy Choi; Diane van den Broek; Dimitria Groutsis	*Setting the agenda for change: A stakeholder perspective on developing work-ready skills through work-integrated learning* Lisa Mcmanus; Laura Rook	*What impacts Macroeconomic Performance with regard to Sustainable Development? A study of SAARC countries* Anshita Yadav; Sanchita Bansal; Isha Garg *The benefits of leader happiness: A parallel mediation model - Linking employee happiness, LMX, and work engagement* Mahfooz Ansari; Sharmila Jayasingam; Sharan Singh; Rehana Aafaqi *Investigating the impact of inclusive leadership on team diversity climate and the role of psychological safety as a mediator* Terence Chia; Cristina Gibson	*The Importance of Service Performance for the Development of Residential Housing in New Zealand* Radyan Dananjoyo; Fitra Roman Cahaya *Rethinking Fast: Fast Fashion, Slow Fashion* Tsui Man Ng; Martin Grimmer; Stuart Crispin *The value–attitude–intention–behaviour (VAIB) model: the case of organic food in Bangladesh* Parves Sultan; Tasmiha Tarafder; Julian Teicher *Does religiosity promote environmental values that underpin sustainable meat consumption? A study in the context of an emerging nation* Sadaf Zahra; Breda McCarthy; Taha Chaiechi	*State of abandon: The role of governance in the recurrent and cyclical nature of class conflict in the lives of mining communities in Australia* Graeme Cotter; Taha Chaiechi; Silvia Tavares *The impact of mission statement on corporate philanthropic giving: From the perspective of organizational legitimacy* Quan Lin; Chengjie Yu *A Study on the Relationship between Mission Statements of Food Company and Food Safety Social Responsibility* Quan Lin; Yutao Zhu; Ying Zhang *Organising food systems through ecologies of care* Kathryn Pavlovich; Alison Henderson			
1450	*An exploratory study of organisational and industrial drivers for the implementation of emerging technologies in the Australian logistics industry* Alka Nand; Amrik Sohal; Ilya Fridman; Mark Wallace; Sairah Hussain	*Influence of Time Pacing Styles Congruence on Individuals' Performance, Wellbeing, and Turnover Intentions* Syed Waqas Shah; Denise Jepsen; Sarah Bankins	*Improving through partnership: How protected relational space produces informal accountability for inter-organisational learning and a culture of continuous improvement* Nicola Burgess; Graeme Currie; Bernard Crump; John Richmond; Mark Johnson	*Indigenous and Emancipatory Entrepreneurship in Brazil: Constructing Slab-laying Festivities Based on Popular Culture* Eduardo Davel	*In Defence of the Familiar: Innovating in Business Schools through Slow Histories* Stuart Middleton; Ann Wallin; Alexandra Kriz; Sara Eckberg; Matthew Peters; Richard Buning						
1510	*The role of chain-wide governance in agribusiness value chains: An exploratory case study* Tiffany McIntyre; Mark Wilson; Jeff Heyl	*Affective diversity and creativity in teams: The role of transactive memory* Leung March To; Cynthia Fisher; Neal Ashkanasy; Jing Zhou	*The application of the 3P lean product development method in healthcare facilities design.* Christian Hicks; Tom McGovern; Iain Smith	*Impact of supporting and valuing diversity on employee outcomes: Mediating role of diversity climate* Sadia Mansoor; Phuong Anh Tran; Muhammad Ali; Tahrima Ferdous	*Transitioning in and out of university: Student psychological distress and resilience* Christina Scott-Young; Sarah Holdsworth; Michelle Turner						
1530	*Reverse Logistics: From Chitty, Chitty, Bang, Bang to Fast and the Furious* Kumaraguru Mahadevan	*High Performance Work Practices and turnover intention: What age-specific differences?* Caroline Mothe	*Public sector entrepreneurship, collaboration and integration: the case of nurses and pharmacists in New Zealand primary healthcare* Natalia D'Souza; Shane Scahill	*The job search experience of former international student migrants in Australia. Does a local qualification make a difference to skill discounting?* Vidya Vishnu; Gerry Treuren; Sukhbir Sandhu; Ashokkumar Manoharan; Mary Bambacas							
1550-1620	**AFTERNOON TEA**										**Grand Ballroom Foyer**

WEDNESDAY 4 DECEMBER 2019

1620-1800	**CONCURRENT SESSION THREE (100 MINS)**									
	Delivered Sessions					**Interactive Sessions**			**Workshops**	
Room	Kuranda Ballroom	Mossman Ballroom	Tully 1	Tully 2	Tully 3	Rosser	Boardroom 1	Boardroom 2	Bluewater 1	Bluewater 2
Stream	LGS DEL 1	HRM DEL 2	IM DEL	GDI/HMO DEL	SSM DEL 1	OB INT	HMO INT 1	WSWP INT 1	WS 6	WS 7
Chair	Brinda Mahadeo	Alan McWilliams	Sardana Khan	Gerry Treuren	Imran Ali	Neal Ashkanasy	Fran Ackermann	Ross Chapman		
1620	*Agency hazards and the Firm's Networking Behavior* Majid Abdi	*Work-life got you stressed? Try a joke: The influence of humour on work-life stress* David Cheng; Xi Wen (Carys) Chan; Farveh Farivah	*Common Corporate Language and Procedural Justice of Joint Venture Managers* Lara Makowski Komura; Ralf Bebenroth; Ashish Malik	*From Heroism to Collegiality in leadership: Is Australian business media representing contemporary leadership?* Maria Hameed Khan; Jannine Williams; Penelope Williams; Erica French	*Collaboration to reduce food loss and waste: A conceptual map* Ananya Bhattacharya	*Work-family conflict as a mediator between job demands and burnout among primary school teachers* Arjun Chakravorty; Pankaj Singh *The relationships between job stress, social support and burnout among teachers in China* Han Cheng; Henry Lau; Youqing Fan *Gain or drain: The impact of daily commuting on cyberloafing and procrastination* Vivien Lim; Thompson Teo; Egan Lua *Truth or dare: Can the mystery between multiple job demands and employee wellbeing and performance be solved?* Reshman Tabassum *The impact of instrumental emotion regulation on employees' expressed entitlement and contextual performance.* Dan Henning Langerud; Peter Jordan; Matthew Xerri; Amanda Biggs	*How do clinicians' professional bodies characterise interprofessional care?* Ann Dadich; Sharon Williams; Rebecca Wells; Shane Scahill; Nazim Taskin; Stephanie Best *Exploring brilliance in renal care through co-discovery* Liz Fulop; Louise Kippist; Ann Dadich; Anne Smyth; Hazel Harden *Considering ontological (in) security of executives in tertiary healthcare organisations* Marina Keenan; Elisabeth Wilson-Evered; Michael McGrath *Health consumers' social media adoption behaviours: evidence from Australia* Irfanuzzaman Khan; Md Abu Saleh; Raechel Johns; Ali Quazi *Clinician-to-manager transitions in remote health work contexts: Lessons from a pilot study* Leigh-ann Onnis	*Strata Property Stakeholder Conflict: A Queensland Case Study* Russell Barnes *Conflict and risk arising from failure of management rights agreements to reflect the changed role of resident managers at strata title property schemes* Russell Barnes *Foundation to India's Tryst with Financial Inclusion:The World's Largest Identity Programme* Preeti Goyal; Sanjay Goyal; Soumya Chandra *How Mobile Technologies Enable Process Virtualisation in Managing Farm at a Distance: Exploring Telephone farming in Kenya* Joseph Macharia; Carol Richards; Sandeep Salunke *External Barriers in Innovation of Value Proposition for Private Non-University Higher Education Providers* Nestor Nonato; Dorothea Bowyer; Michelle Cull	*Scholarship among Casual Academics: Understanding and implementing the TEQSA requirements* Geoffrey Chapman; Santina Bertone; Stephanie Macht; Ritesh Chugh; Julie Fleming; Maree Franettovich; Tim Whan	*Teaching Teamwork Skills and Knowledge to First-Year Undergraduate Students* Elizabeth Nichols; Marissa Edwards
1640	*A qualitative examination of the relationship between organisational resilience and post-merger integration* Juhi Jennifer Macwan; Layla Branicki; Sarah Bankins	*Flexibility stigma and employee outcomes: The mediating role of flexible work practices usage* Tahrima Ferdous; Muhammad Ali; Erica French	*Host country nationals' cross-cultural adjustment: Their exchange relationship with expatriates and its spillovers* Snejina Michailova; Anthony Fee	*Promoting effective Māori leadership and decision making for prosperous economies of wellbeing* Ella Henry; Rachel Wolfgramm; Chellie Spiller; Robert Pouwhare; Charles Crothers	*Climate Change Belief and Resilience to Climate Change in Bangladesh: Is Leadership Making any Difference?* Amlan Haque; Anita Jahid					
1700	*The Influence of CEO Duality and Board Size on the Market Value of Spun-off Subsidiaries: The Contingency Effect of Firm Size* O.Volkan Ozbek	*Are Overqualified Employees Satisfied with Their Lives? Examining the Role of Personality and Coping* Emika Howard; Aleksandra Luksyte	*Toward a theory of Intercultural Intelligence in Organisations* Momo Kromah	*How does inclusive leadership matter in high performance teams? Insights from Australia's healthcare industry* Arash Najmaei; Julius-Viktor Grummeck-Braamt; Zahra Sadeghinejad	*A circular economy model for reducing food waste in the university sector: meeting the United Nation's sustainable development goals* Breda McCarthy; Alana Hayashida-Boyles; Adam Connell					
1720	*The Internationalization and Voluntary Adoption of International Accounting Standards of MNEs* Hideaki Sakawa; Naoki Watanabel; Junjian Gu	*A multilevel analysis of work-life balance practices* Vui-Yee Koon	*Expatriate Managers from HQ in Foreign Subsidiaries in Times of Change* Brendan Boyle; Rebecca Mitchell; Stephen Nicholas; Shuming Zhao; Elizabeth Maitland	*A multilevel examination of staffing inadequacy, teamwork and turnover intentions in Aged Care* Benjamin Farr-Wharton; Yvonne Brunetto; Matthew Xerri	*Familial Logics and Environmental Sustainability* Nishanthi Kariyapperuma; Eva Collins; Steve Bowden					

WEDNESDAY 4 DECEMBER 2019										
1740	*Alliance Portfolios: Interaction Effects of Partner Type Diversity, Tie-strength and Learning Orientation* Dhirendra Mani Shukla; Amita Mital; Israr Qureshi; Taiyuan Wang	*Proactive career behavior and career success: The mediation and moderating effects of taking charge and protean career attitude* Yuhao Liu; Oluremi Ayoko	*Headquarters-subsidiary relationships: An emerging country's subsidiary role through technological knowledge generation* Klaus Peter Stolzmann; Marco Antônio Amaral Féris; Matthew Pepper; Oriana Price; Rodney Clarke		*At the Interface of Corporate Governance and CSR: Convergence, Complementarity and Contestation* Rosemary Sainty; Suzanne Benn					
1800	**END OF DAY 1 CONFERENCE SESSIONS**									
	CONFERENCE FREE NIGHT									

THURSDAY 5 DECEMBER 2019

0800-0900	Registration									Grand Ballroom Foyer
0900-1000	Keynote Address: Prof. Helen Sullivan 'Collaborative Futures in Complex Times' Chair: Prof. Lee Di Milia									Grand Ballroom
1000-1030	ANZAM Awards Ceremony									Grand Ballroom
1030-1100	**MORNING TEA**									**Grand Ballroom Foyer**
1100-1240	**CONCURRENT SESSION FOUR (100 MINS)**									
	Delivered Sessions					**Interactive Sessions**			**Workshops**	
Room	Kuranda Ballroom	Mossman Ballroom	Tully 1	Tully 2	Tully 3	Rosser	Boardroom 1	Boardroom 2	Bluewater 1	Bluewater 2
Stream	HRM DEL 3	OB DEL 2	TISCM DEL 2	LGS DEL 2	MELT DEL 2	ESSB INT 2	WSWP INT 2	GDI INT 1	WS 8	WS 9
Chair	Justine Ferrer	Jesse Olsen	Terry Sloan	Herman Tse	Peter McLean & Christa Wood	Tanya Jurado	Anneke Fitzgerald	Diane Ruwhiu		
1100	*High performance work systems and psychosocial work environment: A moderated mediation model* Stephen Teo; Tim Bentley; Diep Nguyen	*Does caring for others make me exhausted? The role of emotion regulation and supervisor's compassion* Bichen Guan; Denise Jepsen	*Charting a course, embarking on a journey: Developing leadership competences in complex project management* Fran Ackermann; Eunice Maytorena; Carl Gavin; Stuart Forsyth	*Measuring resilience-enabling leadership* Esme Franken; Geoff Plimmer; Sanna Malinen; Jane Bryson	*Escape Rooms in Management Education: A systematic literature review and research agenda* Geoffrey Chapman; Stephanie Macht; Scott Beattie	*Family Business, time-frames and security. How individual / generational life-cycles may impact risk management and the sustainability of the family business.* Catherine Bowen *Small businesses sustainability and Accounting and financial management practices: A systematic literature review* Siavash Karami; Tasadduq Imam; Peter Best *Understanding the value logic of family business* Daiteng Ren *Relationship quality Competency for Vietnamese Logistics SMEs* Minh Anderson; Pi-Shen Seet; Ferry Jie; Julie Crews	*The future of work: wicked thinking to tackle grand challenges* Sara Walton; Diane Ruwhiu; Paula O'Kane *The wicked challenge of reporting against the SDGs for smaller organisations such as Sydney Theatre Company* Valerie Dalton *Wicked solutions? Discrimination, kindness and collaboration* Buriata Eti-Tofinga; Hui Ping Ho; Vicki Little *Do we have wicked problems and solutions in strategic decision making: A review of literature.* Safoora Pitsi; Anil Chandrakumara; Rohan Wickramasuriya Denagamage *The stress stupidity system: Solutions and sustainability* Jerry Sheppard; Jesse Young	*Emotional labour of healthcare professionals in Pakistan: A gendered perspective* Faiza Ali *Selection, implementation and influence of gender-based HR initiatives on women's representation in Australian project-based organisations* Marzena Baker; Erica French; Muhammad Ali *Women in leadership positions for better M&A outcomes?* Nigel Garrow; Glenn Growe; Ifedapo Francis Awolowo *Climate of Silence – Voices of Transnational Academics in Australia* Diana Rajendran; Peter Holland; Anne Bardoel *Mentoring in Accounting Firms in India and Malaysia - Is it Gendered?* Sujana Adapa; Subba Yarram; Alison Sheridan	*Design Thinking – Reverse Engineered!* Rose Kling	*Take Your Lead with the Journal of Management & Organization: Making Our Work Intellectually and Societally Impactful – In Dedication to Professor Ken Parry* Oluremi Ayoko; Brad Jackson Panellists include: Steve Kempster; Kevin Lowe; Emma Watton; Melanie Kan; Andrei Lux; Paula O'Kane; Geoff Plimmer; Sara Walton
1120	*The Role of Mentoring in Talent Development Among Subsidiaries of Multinational Enterprises: A Multiple Case Study Approach* Jing Yi (Daphne) Chan; Stefan Quifors; Torben Andersen; Geoff Duncan	*Flipping the coin on abusive supervision* Shahid Khan; Karen Medica	*Generating industry-level commitment to the digitalisation of the healthcare supply chain: An "attention" based framework* Prue Burns; Ian McLoughlin; Amir Andargoli; Frada Burstein; Amrik Sohal; Helen Skouteris	*Performance shortfalls and board political capital building: A behavioural model of director selection* Renfei Gao; Geoff Martin; Helen Hu; Jane Lu	*Teaching Teamwork Skills in a Large First Year Undergraduate Organisational Behaviour Course* Marissa Edwards; Elizabeth Nichols					
1140	*Advancing a conceptual framework for understanding the influence of talent management practices on employee responses: The mediation role of individual self-concept of talent* *Thedushika De Silva; Ashish Malik; Philip Rosenberger III*	*The Dark Side of Empowering Leadership Perceived Leader Expediency, Duty Orientation And Unethical Pro-Organizational Behaviour* *Xue Zhang; Guyang Tian; Yezhuang Tian; Chao Ma*	*Entrepreneurial Orientation and Firm Ambidexterity: Is Knowledge Transfer a Missing link?* *Chen Han*	*Challenges and Opportunities of Private University Leaderships: The case of Bangladesh* Shafiqur Rahman	*Millennials in Higher Education: Do they really learn differently?* *Preeti Goyal; Poornima Gupta*					

THURSDAY 5 DECEMBER 2019

1200	*A critical review of high performance work systems and job satisfaction: Do job-based psychological ownership and on-the-job embeddedness matter?* Praveena Thevisuthan; Ashish Malik; Brendan Boyle; Rebecca Mitchell	*What I experienced yesterday is who I am today: A multi-wave daily diary study of the effects of off-the-job experiences on abusive supervision* Hussain Tariq; Qingxiong (Derek) Weng	*Impact of Internal Environmental Uncertainty and Knowledge Leveraging on Manufacturing Plant's Financial Performance* Buddhika Mannaperuma Mudiyanselage; Prakash J.Singh; William Ho	*The Effect of Inclusive Leadership on Employee Innovative Behaviour* Azadeh Shafaei; Stephen Teo; Mehran Nejati	*Reconceiving responsibility in management education* Paul Hibbert; Stuart Middleton; April Wright	*Communal Obligation: Manifestation of Spiritual Values in Entrepreneurial Activities* Farhana Sidek; Rosmah Mat Isa; Noor Azuan Hashim; Hamizah Abdul Hamid; Khairul Akmaliah Adham				
1220	*Suppressor Effect of Social Media Disorder on the Relationship between Social Media Use and Networking Behavior in the Workplace* Sarra Rajhi Oueslati; Walid Derbel; Muhammad Ali Asadullah	*"You're the butcher or you're the cattle." Testing a moderated mediation model of when and how subordinate's behavior instigates abusive supervision* Hussain Tariq	*Implementation of innovations in hotels and restaurants and the subsequent impact: a systematic literature review* Malik Muhammad Abid; Tasadduq Imam; Robert Grose		*Authentic Assessment in the Curriculum: Employability & Contemporary Issues within Higher Education Business Schools* Graham Manville					
1240-1330	**LUNCH**									**Grand Ballroom Foyer**
1330-1510	**ASK ANZAM**									**Rosser**
1330-1510	**CONCURRENT SESSION FIVE (100 MINS)**									
	Delivered Sessions				**Interactive Sessions**			**Workshops**		
Room	Kuranda Ballroom	Mossman Ballroom	Tully 1	Tully 2	Tully 3	Boardroom 1	Boardroom 2	Bluewater 1	Bluewater 2	Rosser
Stream	WSWP DEL 2	OB DEL 3	MCR DEL	PSNFP DEL	MELT INT 2	HRM INT	TISCM INT	WS 10	WS 11	Ask ANZAM
Chair	David Mckie	Amlan Haque	Parves Sultan	Barbara Allen	Peter McLean & Christa Wood	Stephen Teo	Arun Elias			
1330	*Are Overseas Sweatshops a Wicked Problem and Does it Matter? The Case of Ready-made Garments Sector in Bangladesh* Sardana Islam Khan; Julian Teicher	*Does crime pay? The costs and benefits of associating with a fraudster: Evidence from citation rates of the coauthors of academic fraud* Diederik Stapel Agnes Andor; Celia Moore; Alex Oettl	*The effects of eco-service quality (ECOPERF) on behavioural intentions: The mediating role of perceived value and customer satisfaction* Joowon Janice Ban	*This isn't rocket science! A blueprint for engaging with stakeholders in public sector based on evidence from local government* Hafsa Ahmed	*Evaluation Framework for Tourism Leadership Development Programs* Marcela Fang; Thu-Huong Nguyen; Anona Armstrong *Opening the black box of student burnout experience: how emotional exhaustion leads to reduced efficacy via students' approaches to learning* Xiaowen Hu; Gillian Yeo	*Worker Voice and Silence in Platform Capitalism: A case-study of UK food couriers.* Nadia Kougiannou; Pedro Mendonca *Curiosity: The vital ingredient to expatriate success* Sten Langmann; Pieter-Jan Bezemer; Stefan Robert Thomas; Sumitra Haridas	*Pathway of New Inventions in Convergence Process: A Conceptual Study in High-Tech Industries Context* Sajad Ashouri; Anne-Laure Mention; Sam Tavassoli *Innovativeness efforts and hotels performance in oil-dependent economies: The case of Qatar* Issa Dawd	*How to write research methods papers for publication* Tine Köhler; Bill Harley; Zitong Sheng; Paula O'Kane	*Emotions and Cognitions in the Rough – Project/ Paper Development Workshop* Herman Tse; Neal Ashkanasy; Peter Jordan; Kevin Lowe; Ashlea Troth	*Ask ANZAM Senior academics will be available to provide career coaching, inspiration, and advice. Small groups and an informal setting will give you the chance to ask the questions you really want answered.*
1350	*Establishing partnerships with Indigenous Australian communities for implementing community-designed and driven education/ social enterprise hubs* Carolyn Daniels; Adrian Miller	*Does organisational context influence employee engagement? The experience of an Australian financial services firm* Betty Frino; Troy Sarina	*Increasing price transparency to mitigate consumers' negative responses to personalized price discrimination* Gerrit Hufnagel; Manfred Schwaiger	*Volunteers as Agents of Social Change: Evidence from Australian Food Rescue Industry* Upamali Amarakoon; Susan Bird; Xiaoyan Liang; David Pearson						

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1410	*The business – government nexus: The role of government in business responses to climate change* Sheela Sree Kumar; Bobby Banerjee; Ann Dadich	*Authentic Leadership: A Western Notion?* Andrei Lux; Iris Mao	*Young but Reputable: How Can Young Firms Build Corporate Reputation through Corporate Communications? A Choice-Based Approach* Manfred Schwaiger; Johanna Eberhardt; Sarah Mahr	*Unpinning Employee Wellbeing: Does emotional contagion compromise the impact of personal and organizational support for healthcare professionals working in public, FP and NFP settings?* Yvonne Brunetto; Matthew Xerri; Benjamin Farr-Wharton; Ashley Cully	*Peer review of blended teaching: The reviewer's perspective* Renee Paulet *A teaching and learning simulation game: Using events to stimulate sustainable destination development* G. Michael Mcgrath *Block mode teaching for first year business students: Positive outcomes* Simone Cliffe	*Voice mechanisms and academic engagement in the higher education sector: a proposed research agenda* Alan McWilliams; Justine Ferrer *Competing commitments and contextual challenges: The influence of management practices and HR outcomes on remote health workforce sustainability* Leigh-ann Onnis; Josephine Pryce *Providing insight into human resource management solutions by understanding the psychological contract and employee engagement.* Jane Oorschot; Anna Blackman; Gianna Moscardo	*Continuous improvement implementation in the New Zealand public sector: Critical success factors* Arun Elias *AOL as mechanism for continuous improvement or compliance? An investigation of business school practice.* Oriana Price; Matthew Pepper; Ann Rogerson *Action learning sets in local government: working together to solve wicked problems* Janelle Davidson; Oriana Price; Matthew Pepper			
1430	*Insidious risk management through rehabilitation and closure in mining-related businesses* Corinne Unger; Jo-Anne Everingham	*Reducing demands or optimizing demands? The effects of cognitive appraisal and job autonomy on job crafting strategies towards job demands* Fangfang Zhang; Sharon Parker	*Choice overload and small-agent rationalization preventing boycotts* Ulku Yuksel; Nguyen (Beo) Thai; Michael SW Lee	*Political corruption, political culture and a national integrity ecosystem* Marie dela Rama; Michael Lester						
1450	*The wicked problem of climate change and interdisciplinary research: Tracking management scholarship's contribution* Franz Wohlgezogen; Tom Osegowitsch; Angela Mccabe; Joeri Mol	*Leaders' experiences of, and responses to employee psychological contract violations* Brenda Barugahare; Sarah Bankins; Denise Jepsen; Maria Tomprou	*Aristotelian rhetoric in FMCG advertisement and its impact: A study from India* Amit Shukla; Abiot Tsegaye	*Getting agile about wicked problems: An outcomes framework for local council community development initiatives* Bronte van der Hoorn; Abbey Richards; Brent Downes; S. Jonathan Whitty						
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1540-1640	Spotlight on Learning and Teaching: Addressing the wicked problem of indigenising the curriculum. Chair: Professor Ruth McPhail									Grand Ballroom
1640-1810	ANZAM Heads of Schools of Management and Institutional Members Meeting (For HOSOM Members and Institutional Member Representatives ONLY)									Boardroom 2

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1540-1720	**CONCURRENT SESSION SIX (100 MINS)**								
	Event	**Delivered Sessions**			**Interactive Sessions**		**Workshops**		**Events**
Room	Grand Ballroom	Tully 1	Tully 2	Tully 3	Rosser	Boardroom 1	Bluewater 1	Bluewater 2	Boardroom 2
Stream	Spotlight on Learning and Teaching	ESSB DEL 1	WSWP DEL 3	SSM/POW DEL	OB/GDI INT	HRM/HMO INT	WS 12	WS 13	SC Debrief and HOSOM/IM Meeting
Chair	Ruth McPhail	Lisa Bradley	Ron Kerr	Tobias Andreasson	Peter Jordan	Beni Halvorsen			
1540	*Spotlight on Learning and Teaching: Addressing the wicked problem of indigenising the curriculum* Dr Diane Ruwhiu, Professor Mark Rose, Dr Ella Henry, Mr Mark Rose Chair: Professor Ruth McPhail	*The Influence of Entrepreneurial Intention on Aspiring Entrepreneurs' Opportunity Recognition: The Roles of Career Optimism and Career Goal-Setting* Eric Asante; Tingting Chen; Emmanuel Affum-Osei	*Refugee Migration to Australia as a Wicked Problem: Can entrepreneurship help?* Naomi Birdthistle; Julienne Senyard; Bernard Gan; Rosemary Stockdale	*Designing performance management to be an ethical tool* Deborah Blackman; Fiona Buick; Michael O'Donnell	*Fair Pay Judgment in Mainland China* Carrie Lee *Context is everything: the role of relational context in the workplace* Ann Parkinson *A theory of organisational attachment for skill discounted migrants that recognises different work motivations* Gerry Treuren; Vidya Vishnu; Ashokkumar Manoharan *Indigenous exporting enterprises and trade policy: The Māori business experience* Tanya Jurado; Jason Mika	*Will Intent to Quit Always Make Trouble? Investigating the Roles of Strategic HRM and Meaningfulness in Work* Amlan Haque *The Wicked Problem of Women's Attrition from Engineering: A Contextual Reassessment and Research Agenda* Maryam Raji *Why employment turnover is not dysfunctional? Disentangling the turnover-innovation relationship* Sushil Bhakta Mathema; Angel Sharma; John Koirala *Healthcare structural reform and the performance of public hospitals: The Case of Queensland, Australia* Bao Hoang Nguyen; Shawna Grosskopf; Jongsay Yong; Valentin Zelenyuk	*Social Media for academics: Building networks and communicating research online* Helen Taylor	*Opening up publishing for early career researchers* Sarah Robinson	*Stream Chair Debrief*
1600		*Entrepreneurial Dispositions, Time Horizons, and Context: Subtleties That Shape Entrepreneurial Intentions* Qingqing Bi; Nadeera Ranabahu; Jamie Collins	*Wicked Solutions to Wicked Problems: What Value are Western Theories in Developing Countries?* Gazi Hossain; Rashadur Rahman	*A Framework to Evaluate the Impact of Green Lean Six Sigma in Reducing Environmental Effects of Manufacturing Systems* Amna Farrukh; Sanjay Mathrani; Nazim Taskin					
1620		*Membership vs. Embeddedness: How involvement in professional associations while overseas influence entrepreneurial intention of returnees* Haiyan Li; Salih Zeki Ozdemir	*'Quality 4.0' and Water Management Practices* Ron Beckett; Ross Chapman; John Dalrymple; Nohemi Quispe-Chavez; Gerard Berendsen	*How managerial empathy increases stakeholder salience* Rebecca Downes; Urs Daellenbach; Jane Bryson					*HOSOM and IM Meeting 1640 - 1810*
1640		*Fear of Failure Experience and Entrepreneurial Intention: An Empirical Framework* Minhajul Islam Ukil; Olga Muzychenko	*Insights on the double glass ceiling for women immigrant entrepreneurs in high-tech industry* Sancheeta Pugalia; Dilek Cetindamar	*Does Sustainability Come at a Cost? An Empirical Enquiry into Conditional Correlation and Volatility of Sustainable Indexes and Traditional Indexes* Gagan Deep Sharma; Gaurav Talan; Mansi Jain					
1700			*Governments need to be wicked for infrastructure investments to be worthwhile* Richard Fulford	*Heuristics, herding and prospect bias: A peek into the millennials' financial decision making mindset* Poornima Gupta; Preeti Goyal					
1720	**END OF DAY 2 CONFERENCE SESSIONS**								
1900	ANZAM Conference Dinner (for pre-purchased ticketholders ONLY)								Grand Ballroom

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0800-0900	Registration									Grand Ballroom Foyer
0900-1010	ANZAM Keynote Address: Plenary Panel Session – 'Wicked Problems in Management Practice: A Practitioner Panel'. Chair: Professor Melanie Bryant									Grand Ballroom
1010-1100	ANZAM – Annual General Meeting (All delegates welcome to attend)									Grand Ballroom
1100-1120	**MORNING TEA**									**Grand Ballroom Foyer**
1120-1300	**CONCURRENT SESSION SEVEN (100 MINS)**									
	Delivered Sessions			**Interactive Sessions**			**Workshops**		**Events**	
Room	Kuranda Ballroom	Mossman Ballroom	Tully 1	Tully 2	Tully 3	Boardroom 1	Bluewater 1	Bluewater 2	Rosser	Boardroom 2
Stream	WSWP DEL 4	HRM DEL 4	SSM/MCR DEL	TISCM/IM INT	OB/POW INT	GDI INT 2	WS 14	WS 15	AMLE PDW 1	SIG Convenors Meeting
Chair	Deborah Blackman	Beni Halvorsen	Christiana Liang	Matthew Pepper	Kevin Lowe	Ashokkumar Manoharan				
1120	*Is engaged scholarship the 'wicked solution' to management scholarship's 'wicked problem' of research-practice gap?* Hafsa Ahmed; David Cohen	*HRM systems, practices, and employee commitment: The role of employee gender* Duck Jung Shin; Alaine Ochoantesana; Muhammad Ali; Alison Konrad; Damian Madinabeitia	*Legitimacy of Corporate Social Innovation: Legitimizing Resource Mobilization for Corporate Social Innovation in the Case Studies in Japan* Masaatsu Doi	*IT capability as an Enabler of Supply Chain Integration and Coordination* Rui Bi *Blockchain as a solution for anti-counterfeiting in the supply chain* Mohammed Khaiata; Paul Bergey; Nicholas Letch *The Caste System: Implications of an Informal Institution for MNEs* Hari Bapuji; Snehanjali Chrispal; Balagopal Vissa; Gokhan Ertug *MNC Subsidiary Innovation: A Comprehensive Model* Zhan Wu	*Team conflict and team performance: The moderating impact of team temporal leadership* Buddhika Mudannayake; Ramudu Bhanugopan; Hanoku Bathula	*Impact of diversity, organisational culture and climate on performance in the Australian accounting profession* Silke Harms; Thu-Huong Nguyen; Anona Armstrong	*Developing Indigenous Quantitative Research: Voices from Australia and New Zealand* Ella Henry; Maggie Walter; Carla Houkamau; Rachel Wolfgramm	*Best Practice Recommendations for Studying Moderating Effects in Organizational Behavior Research.* Gordon Cheung	*AMLE Paper Development Workshop Part 1* (Only for invited delegates who have registered to attend this session)	*ANZAM Special Interest Group Convenors Meeting*
1140	*Towards redefining eldergogy: a systematic literature review to understand how older people learn* Anneke Fitzgerald; Jessica Booth; Ashley Cully; Katrina Radford	*Public Health Care in Pakistan: Structure and Challenges - Is Human Resource Management the way forward?* Muhammad Faisal; Pauline Stanton; Michael Muchiri	*Strategic Integration of CSR with The Company's Strategy and Its Effect on The Firm's Performance: Evidence from the Indonesian Manufacturing Industry* Esti Rinawiyanti; Xueli Huang; Sharif As-Saber		*The effect of team pay dispersion and team LMX on perceived incivility Tine* Koehler; Victor Sojo; Gloria Gonzalez-Morales; Jose M. Cortina; Jesse Olsen; Adrienne O'Neil; Rebecca Schachtman; Adriana Vargas-Saenz; Elise Holland *How work teams understand and overcome performance pressure: A qualitative investigation* Anshu Sharma *Embracing ambiguity in project managers* Anna Wiewiora; Peter O'Connor	*Indigenous Ethics - Insider, Outsider, Spaces In-between: Reflections From Both Sides Of The Boundary* Mark Jones; Mark Rose; Pauline Stanton *Understanding immigrant employees' experiences in the Australian multicultural workplace* Davina Dias; Cherrie Zhu; Ramanie Samaratunge				
1200	*Real-world impact: The use of sustainable development goals (SDGs) and targets for solving wicked problems in Academia* Ashley Cully; Jennifer Kosiol; Ross Chapman; Anneke Fitzgerald; Geoff Chapman; Geremy Farr-Wharton; Frank Gertsen; Ryan Gould; Stephanie Macht; Katrina Radford	*Impact of Managerial Support on Employee Outcomes: Mediating Role of Work-family Conflict* Phuong Anh Tran; Sadia Mansoor; Muhammad Ali; Tahrima Ferdous	*Critical factors for the adoption of social sustainability practices in vietnamese handicraft organisations: A preliminary study* Thi Tran; Hepu Deng; Chin Eang Ong							

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1220	*Wicked work: Interdisciplinary impacts, professional projects and learning for transformation* David McKie; Paul Willis	*The Effect of Video Resume on Recruiters' Attitude: Examining Impression Management Tactics and Social Capital Factor* Jin Feng Uen; Shan Kuei Teng; Li Chang Wu	*Understanding music consumption behavior and industry competition in the music market of China* Jordan Gamble; Baizhu Chen; Shantanu Dutta		*Wicked work: Preparing professionals of the future* Melissa Sullivan; Bobby Harreveld; Julie Fleming	*Greater inclusion of people with disabilities in mainstream employment: A call to action for the management discipline to engage with this wicked problem* Paul Ikutegbe; Lynnaire Sheridan; Rob Gordon; Melanie Randle *Intersectionality in critical entrepreneurship studies* Helen Taylor				
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1400-1540	*AMLE Paper Development Workshop Part 2 (Only for invited delegates who have registered for this session)*									Rosser
1400-1540	**CONCURRENT SESSION EIGHT (100 MINS)**									
	Delivered Sessions			**Interactive Sessions**				**Workshops**	**Events**	
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1400	*The role of strategic collaborations and relational capital in enhancing product performance – A moderated mediated model* Daniel Prajogo; Carlos Mena; Mesbahuddin Chowdhury	*Bridging the gap between what should do and what have been done* Maya Irjayanti; Linley Lord; Kerry Pedigo	*The Quest for Organizational Value: A Hauntological Exploration* Teresa Rose; Janice Thomas	*Who cares?: An outline of the methodology and methods exploring meaningful consumer engagement in an Australian context.* Tania Hobson; Anneke Fitzgerald; Katrina Radford *The work orientation of highly-experienced allied health professionals: An emergent typology* Bianca Jackson; Helena Cooper-Thomas; Suzanne Purdy *Exploring the barriers and facilitators to social engagement within an Australian intergenerational care program* Jennifer Kosiol; Lalitha Kirsnan	*Effect of organizational justice and trust on supply chain performance* Yuling Sheng; Mengying Feng *How a firm's dominant logic affects dynamic capability deployment: the context of exploration and exploitation* Yuan Gao; Siggi Gudergan; Nidthida Lin *Shareholder activism: a research agenda* Damian Karmelich *Leading in Turbulent Times: Findings from an Investigation of Leadership Practices in the Australian Higher Education Sector* Narayan Tiwari; Wayne Fallon; Jayne Bye	*More than just an angry face: A critical review and theoretical expansion of research on leader anger expressions* Bo Shao; Yongxing Guo *CEO Altruism, Leader Altruism and Organizational Citizenship Behavior: A Social Learning and Social Exchange Perspective* Dedi Siddiq; Denise Jepsen; Salut Muhidin *The Challenge of using Practice-based Strategies to Change a Workplace Environment* Jacqueline Hiddlestone-Mumford		*Establishing and contributing to large research projects* Geoff Plimmer; Melanie Bryant; Sara Walton	*AMLE Paper Development Workshop Part 2* (Only for invited delegates who have registered to attend this session)	
1420	*How do government subsidies affect corporate innovation? Moderating effect of marketization process and financial transparency* Wenyin Bu; Mengyuan Zhu	*Does entrepreneurial personality traits of informal entrepreneurs mediate the EO – firm performance relationship? Evidence from a developing country* Eijaz Khan	*Financial hedging to neutralize versus operational flexibility to exploit exchange rate fluctuations* Jan Hendrik Fisch; Harald Puhr							
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***'Women in leadership positions for better M&A outcomes?'*.**

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Abstract

M&A activity tends to be value destroying for a range of stakeholders, including employees and pensioners, and there are therefore potentially significant social problems that arise each time a new acquisition is announced. Having more women on a Board or as part of the senior executive team could materially reduce the risk factor on M&A, but the evidence to support this proposal is very limited, as is the evidence of more women being in senior positions in firms. Several firms in the UK have recently gone into administration with significant social repercussions. Existing literature highlights the potential benefit from having more women in senior positions, but data from this study highlights how few women occupy senior positions in Australian firms completing acquisitions, and even the data that does exist in this study is ambivalent about the benefit of more women in senior positions. One conclusion from this paper is that more research needs to be undertaken on the benefits of having more women on the Board of an acquiring firm. On balance, this study, with a very small sample, challenges the premise of quotas namely that Boards should include more women.

KEYWORDS:Merger and Acquisition, Gender Diversity, Leadership, Agency Theory

1. INTRODUCTION

An acquisition is one of the most significant decisions that managers make in their careers, and one of the most complex activities to design and complete. More acquisitions, for the acquirers, destroy shareholder value than improve it (Agrawal, Jaffe et al. 1992, Tuch and O'Sullivan 2007, Yaghoubi, Yaghoubi et al. 2016). The 'winners' are owners of businesses being bought and the advisors to both buyers and sellers. The losers can include pensioners and employees who typically have no involvement in the decision-making process of an acquisition. A driver of M&A is often hubris (Roll 1986), or overconfidence, characteristics which are frequently considered to be male rather than female. Global M&A activity is enormous. From a Deloitte study, it was found that in the first nine months of 2018 M&A deal activity reached $3.3trillion, a 39% increase on the same period in the prior year. Every week we seem to hear about another firm taking an impairment charge following an unsuccessful acquisition, 'unsuccessful' being defined as unable to hit the high expectations promised with a deal.

This study originally was designed to examine some new factors which may determine the success or failure of M&A: the influence of the Chairman and the CEO on shareholder outcomes from M&A activity in Australia, and the effect of the length of their tenure together. The study examines Agency factors and the possible conflict of interests between shareholders and managers. The study employed a long-event window research methodology (Bruner, 2004, p33). It examined the cumulative abnormal returns (the firm's return to shareholders, through changes in its share price and dividends paid, adjusted by the average returns in the share market as a whole which are accounted for through the use of the

ASX 200 Accumulation Index) to the acquirer's shareholders for a period of three years following the completion date.

With the available data, the study sought to identify the possible effect of women on the acquirer's Board in terms of M&A outcomes and determining factors of outcomes. A central proposition at the outset of this study was that there should be more women on Boards and senior executive teams because it is the right thing to do, and not because a quota is being set. However, to support this, more evidence is required, and some bold decision making may be required, which eliminates conscious and unconscious bias.

2. LITERATURE REVIEW

M&A activity has been analysed using an array of techniques (Gregory 1997) across different periods (Martynova and Renneboog 2008) and in different countries (Gregory 1997, Tichy 2001, Sharma and Ho 2002, Martynova and Renneboog 2008). On balance, the literature suggests that while the acquired firm shareholders usually enjoy substantial gains from acquisitions, acquiring firm shareholders often lose value (Dodd 1976, Agrawal, Jaffe et al. 1992, Gregory 1997, Tichy 2001, Tuch and O'Sullivan 2007, Hitt, King et al. 2009).

Some authors attribute underperformance in acquisitions to hubris or agency problems (Roll 1986; Berkovitch and Narayanan 1993, Gregory 1997; Sharma and Ho 2002). Jensen and Meckling (1976) defined an agency relationship as a contract under which one or

more persons (the principal) engage another person (the agent) to perform some service on

their behalf, which involves delegating some decision-making authority to the agent.

However, one of the problems in agency relationships is that the principal and the agent may prefer different actions because of the different risk preferences (Eisenhardt 1989).

Agency Theory argues that shareholder and management interests are not always aligned and that mechanisms need to be put in place, such as outcome-based contracts and improved information systems for stakeholders, to provide some protection for shareholders (Eisenhardt 1989). Alternatively, Stewardship Theory holds that there is no inherent general problem of executive motivation, that the interests of shareholders and managers are aligned (Donaldson and Davis 1991). Agency theorists,

therefore, argue for a separation of the roles of Chairman and CEO, whereas stewardship theorists argue for combining the two roles into one person (Donaldson and Davis 1991).

Roll (1986) cited hubris as an explanation for why M&A activity often fails to create shareholder value. Hubris is overconfidence, potentially manifest as pride or arrogance. The hubris hypothesis is that decision-makers in acquiring firms pay too much for their targets; if there are no gains in takeovers. Hubris is necessary to explain why managers do not abandon these bids since reflection would suggest that such bids are likely to represent positive errors in valuation (Roll 1986). Roll explained that management intentions may be fully consistent with honourable stewardship of corporate assets but that mistakes can and will be made, an acknowledgement of the possibility that Stewardship Theory is more appropriate as an explanation of managerial behaviour than Agency Theory. Gregory (1997) concluded that hubris or 'managerialist theories of behaviour' are possible explanations for M&A outcomes since the outcomes are not consistent with shareholder maximization behaviour by the acquiring firm's management; Sharma and Ho (2002) found that hubris cannot be disregarded as an explanation for M&A outcomes in their Australian study.

Berkovitch and Narayanan (1993) and Seth *et al. (2000)* argued that agency problems, not hubris, seem to be the primary reason for the existence of value-reducing acquisitions. They based this on the view that management are motivated by self-interest in acquisitions, that they are rent-seeking, and that there is a negative correlation between acquirer returns and acquired firm returns.

Kiel and Nicholson (2003) examined board characteristics and governance guidelines in Australia, the UK and the USA. In a study of 348 companies listed on the ASX in 1996, they found the mean proportion of non-executive directors was 69%, and only 23% of firms had combined the roles of Chairman and CEO. They found that no single theory offers a complete explanation of the corporate governance-corporate performance relationship, insofar that board composition does not appear correlated with stock market performance.

Several authors have concluded that organisational tenure is perhaps the strongest characteristic for distinguishing executives, as it reflects factors such as unique knowledge, perspective and insights into the organisation that would be especially crucial to the successful implementation of an acquisition (Finkelstein and Hambrick 1990, Bergh 2001). Bergh summarised his findings as 'the benefits of long organisational tenure, such as a more intimate understanding of the acquired company, lead to more successful outcomes than the benefits of short organisational tenure. The results suggest that one reason for the high frequency of acquisition failure might be because of the retention—and departures—of the wrong acquired company top executives' (Bergh 2001, p.603).

From the most recent Cranfield University, Female FTSE Board Report 2018,[1] the percentage of female executive positions has flatlined at 9.7% in FTSE 100 companies and has fallen to 6.4% in FTSE 250 companies. Our research both in the UK and Australia also shows that the proportion of women in senior executive and senior non-executive roles is low.

Several academic studies have examined the relationship between risk management and the incidence of women on Boards or as members of the senior executive teams. A study at Cardiff University concurred that female directors and managers have a significant impact on corporate decisions (Chen, Leung et al. 2017). They are more likely to hire top female executives, less likely to downsize the workforce, spend more on R&D, more generally make less risky financing and investment choices. They are less likely to make acquisition bids and tend to make acquisitions with lower bid premiums.
A North American study (Levi, Li et al. 2014) found some similar findings, and they also found that each additional female director is associated with 7.6% fewer bids, and each additional female director on a bidder Board reduces the bid premium paid by 15.4%. The Cardiff study (Chen, Leung et al. 2017) also found evidence that firms with a larger fraction of female directors have higher dividend payouts, which arguably places some restraints on Boards and their potential interest in acquisitions. Research suggests that payouts to shareholders reduce the resources under managers' control, thereby reducing

[1] Cranfield School of Management Female FTSE Index

managers' power, and making it more likely they will incur the monitoring of the capital markets which occurs when the firm must obtain new capital (Jensen 1986).

Among FTSE 100 firms, the presence and proportion of female directors are strongly negatively related to M&A activity (Dowling and Aribi 2013). This was interpreted as indicating a lower level of overconfidence among women in their decision making. Using a European sample from 2000-2015, each additional female board member led to around 13% more M&A bids [2], in contrast with Chen et al. (2017). Companies with more women directors initiate more M&A bids. This divergent finding from a sample, including continental European countries as well as the UK raises the question of whether there may be cross-cultural differences in the effects of women on boards. Among a sample of U.S. publicly traded firms, female board representation was negatively related to the number of acquisitions a firm engaged in and with acquisition size Chen, Crossland et al. (2016).

Complexity in the gender diversity-M&A performance relationship is exemplified in a study of top management team composition and performance indicators across two stages of the M&A process (Parola, Ellis et al. 2015). The percentage of females in the top management team improved the firm's cumulative abnormal stock return in the three-day event window around the deal announcement (selection stage). However, top management team gender diversity was negatively associated with Jensen's alpha (a measure of firm stock return) three years after the deal announcement (implementation phase). The interpretation of the favourable early effect of women on the top management team was that women increased the range of options considered and forestalled premature closure. The negative longer-term outcome associated with women on the top management team was ascribed to their contributing to diminished decisiveness and team integration. A firm's prior M&A experience somewhat mitigated this negative effect.

[2] Lundstroem, J. (2016) "The impact of director gender on Europeans Firms' M&A activity" Unpublished doctoral dissertation. Escola de Economia de Empresas de Sao Paulo. SaoPaulo.

Given the dominance of men in business leadership positions, at least up until the global financial crisis (GFC) in 2007/8 (Vinnicombe, Doldor et al. 2015), it might be argued that issues of hubris (Roll 1986, Gregory 1997, Sharma and Ho 2002), narcissism (Maccoby 2000, Chatterjee and Hambrick 2007, Higgs 2009, Owen and Davidson 2009) and toxic leadership (Chua and Murray 2015, Singh, Dev et al. 2015) emerging from research are very much a male phenomenon, and that there is a need to explore business outcomes, notably in M&A, when women occupy a significant proportion of the leadership positions either on a Board or in the senior executive team. In the absence of such research, this paper will explore insights into women's leadership and behaviours alongside existing studies on what are male dominated contexts to consider what the potential benefit of a better male/female balanced leadership team might yield.

The literature on gender diversity and performance is both quite extensive and at times conflicting in its assessment. Some of the key literature is as follows:

Barta et al (2012): In a study of 180 publicly traded companies in France, Germany, UK, and the USA they found that 'for companies ranking in the top quartile of executive-board diversity, ROEs were 53% higher, on average, than they were for those in the bottom quartile. At the same time, EBIT margins at the most diverse companies were 14% higher, on average, than those of the least diverse companies.

Nielsen and Huse (2010): The ratio of women directors is positively associated with strategic board control. The positive effects of women directors on board effectiveness are mediated through increased board development activities and the decreased level of conflict. Women as board members generate more productive discourse (Bilimoria 2000). Women are more concerned with the welfare of other people than men; tendency not to draw attention to themselves.

Adams and Ferreira (2009): Female directors have better attendance records than male directors. More diverse boards are more likely to hold CEOs accountable for poor stock price performance. However, the average effect of gender diversity on firm performance is negative.

Erhardt, Werbel et al. (2003): Executive board of director diversity was positively associated with both return on investment and return on assets. Thus, diversity with boards of directors appeared to have an impact on overall organisational performance.

Aktas, Croci et al. (2016): Given the potential for value destruction is high, M&A transactions require strict monitoring, especially if CEOs are richly rewarded for growth through acquisitions and their remuneration entails bonuses for completing M&A

Levi, Li et al. (2014): Less overconfident female directors less overestimate merger gains. As a result, firms with female directors are less likely to make acquisitions and if they do, pay lower bid premia. Their data shows a negative and significant association between the fraction of female directors on board and the number of acquisition bids. Companies with more women directors are less acquisitive than those with fewer women directors. In terms of economic significance, each ten per cent of female directors on a bidder board is associated with a lower bid premium of 15.4%.

Erhardt, Werbel et al. (2003) reviewed several studies on a range of diversity issues. In relation to gender diversity they highlighted Fondas (2000) observation that women directors help a board execute its strategic function because their experience is often closely aligned with company needs; Selby, who noted that the 'questioning culture' of a board can be influenced, in a positive respect, by having women board members; Bilimoria and Wheeler (2000) and Mattis (2000) who stated that women directors help foster competitive advantage by dealing effectively with diversity in labour and product markets. Written at a time when the incidence of women on Boards was very low, Bilimoria and Piderit (1994) had results which indicated that women were systematically disadvantaged in their odds of executive committee membership.

3. SAMPLE AND METHODOLOGY

The data in this study comprised 47 acquisitions undertaken in Australia during the period 1990 to 2006. Both the acquiring and acquired firms were ASX-listed companies. For the analysis of gender in this study, we were only able to use 46 of the acquisitions in the main study. The acquisitions were obtained from Thomson Reuter's 'Thomson One' database.

The research design involved regressing 21 independent variables with 4 dependent variables to test for joint tenure (Hypothesis 1), agency factors (Hypothesis 2) and animal spirits (Hypothesis 3). The methodology involved regressing cumulative abnormal returns (dependent variables) against data related to independent variables, including joint tenure of the Chairman and CEO in the acquiring firm, CEO remuneration, consideration paid, earnings per share and the acquirer's performance during the period prior to completion in order to test the three hypotheses.

4. FINDINGS

4.1 Tenure, Agency Problems and Remuneration, Animal Spirits

The initial part of this study tested and validated 3 hypotheses:

Hypothesis 1. The length of time that the Chairman and CEO of the acquiring firm have been together in their respective positions at the time of the acquisition will determine the success or otherwise of the outcome of the acquisition, indicating the value of experience.

Hypothesis 2. There is a negative correlation between the change in the remuneration of the CEO and the change in shareholder value in the period following an acquisition, indicating the conflicting nature of shareholder and management goals and the likelihood of agency problems.

Hypothesis 3: 'Animal spirits' drive M&A behaviour and activity and contribute adversely to shareholder outcomes.

The key findings of the first major stage of this study were as follows:

1. Two independent variables, joint tenure at the time of the acquisition for the Chairman and CEO of the acquirer (J-TENURE) and the acquiring firm's CEO remuneration change in the year of completion

compared with the prior year (REMCHG) were significantly correlated at the 1% level with acquirer shareholder returns (CARB).

2. The regression results for CARB were:

CARB = 6.244 + 5.830JTENURE – 0.426REMCHG + 0.881CARTOTOD + 0.215EPS

(0.405) (5.145***) (-4.630***) (3.551***) (2.456**)

– 15.085NATGTACQ – 10.660POR

(-2.173**) (-1.837*) $R^2 = 0.51$, Adj. $R^2 = 0.43$

3. The change in the CEO's remuneration (REMCHG) was significantly negative for the post-completion cumulative abnormal return (CARB).

4. The coefficient for the period of joint tenure for the Chairman and CEO at the time of completion (J-TENURE) was significantly positive for the post-completion CARB.

5. The period of joint tenure for the Chairman and CEO at the time of completion (J-TENURE) was more significant in M&A outcomes than the length of the period of CEO tenure alone (CEOTENURE) at the time of completion.

6. Of the total sample, 40% of the acquisitions (19 from 47) achieved a positive return to the acquirer's shareholders during the three years following the acquisition (CARB);

4.2 Gender Impact on Acquirer Outcomes

The subsequent piece of analysis which focussed on gender factors involved 46 of the 47 acquisitions in the entire study; 0ne acquisition was excluded because we were unable to source the data on board structure of the acquirer that we required to include it in this study. **Table 1** presents the data and analysis that forms the basis of this narrative. The key findings from this are as follows:

Table 1: Gender Impact Analysis

Acquirer	Women	Men	Board Total	CAR B	CAR D	CAR C	Joint Tenure	Divi/share	EPS cents	Div Payout Ratio	Remun Chg %
Jupiters	1	6	7	94.12	-37.08	-34.99	8.75	17.0	27.9	0.609	126.8
Toll	0	8	8	73.1	195.98	59.71	15	33.0	77.8	0.424	142.5
Lang Corp.	0	3	3	64.94	107.3	62.22	7.75	14.0	40.3	0.347	100.0
Downer	0	11	11	63.45	5.98	24.65	4	2.1	5.7	0.368	111.3
Bendigo Bank	1	9	10	49.02	3.63	-25.98	12	41.0	31.4	1.306	100.0
Fosters Brewing	0	7	7	38.18	-44.51	-6.84	0.4	11.0	15.0	0.733	99.3
Lion Nathan	0	9	9	35.07	-21.74	11.99	0.25	20.0	30.3	0.660	102.7
Wesfarmers	0	13	13	34.92	6.47	35.67	8.5	87.0	92.4	0.942	123.0
Westpac	1	9	10	31.59	19.87	13.8	3	33.0	57.1	0.578	96.9
Argo	1	4	5	25.29	-33.11	-14.51	2	17.0	18.7	0.909	105.8
Toll	0	6	6	19.58	17.82	-1.93	4	31.0	63.3	0.490	108.0
Stockland	0	7	7	14.98	-25.47	-4.83	10	28.3	29.2	0.969	155.2
Westpac	2	12	14	9.91	44.03	17.79	5	43.0	64.5	0.667	124.6
CBA	2	11	13	9.75	30.39	0.38	0.66	130.0	291.3	0.446	102.7
St. George	1	7	8	7.53	-14.18	-9.17	0.33	52.0	51.1	1.018	129.9
Tabcorp	0	9	9	6.35	22.33	-19.34	5	47.0	50.1	0.938	172.9
Seven Network Ltd	1	6	7	5.27	11.99	8.36	0	17.5	37.3	0.469	100.0
Goodman Hardie	0	4	4	4.92	-28.24	-13.15	4	10.5	9.66	1.087	153.5
Healthscope	1	5	6	2.05	26.29	0.24	7	12.5	17.4	0.717	155.8
Metcash Ltd	0	12	12	-1.59	22.98	22.99	6	11.5	13.52	0.851	136.0
Australand	1	7	8	-3.73	-12.11	18.32	5	12.0	16.2	0.741	141.8
Evans Deakin	0	6	6	-6.19	-17.18	-5.65	2	15.0	22.9	0.655	132.0
Wesfarmers	0	10	10	-9.66	62.3	72.48	9	111.0	116.0	0.957	260.8
Sothern Cross Broad.	1	5	6	-11.32	33.94	12.53	1.4	57.0	58.23	0.979	100.5
Sothern Cross Broad.	1	7	8	-17.9	-2.47	7.43	2	60.0	75.66	0.793	111.9
Mirvac	1	11	12	-18.15	7.82	-10.25	0	33.8	29.9	1.132	112.1
Burns Philp	0	6	6	-20.33	46.24	10.0	5.75	0.0	6.8	0.000	72.2
CCA	1	7	8	-22.46	2.78	-3.64	3.25	31.5	43.1	0.731	131.8
Tabcorp	0	8	8	-23.1	3.62	-7.41	1	71.0	77.6	0.915	115.8
Boral	1	8	9	-24.22	-26.18	6.08	0	20.0	12.3	1.626	146.7
Primary Health Care	0	7	7	-25.04	30.54	12.69	9	25.0	24.18	1.034	120.0
Multiplex	1	9	10	-25.47	-1.06	-1.06	1	29.8	11.6	2.569	100.0
Tattersall (Tatts Grp.)	N/A	N/A	N/A	-26.25	-6.16	-6.16	0	22.0	26.0	0.846	174.9
Healthscope	1	5	6	-28.52	37.08	5.3	7.5	12.5	17.27	0.724	155.8
Fosters	1	6	7	-33.4	-26.2	-10.55	1	20.0	46.8	0.427	173.9
Pacific Dunlop	0	7	7	-37.0	-5.75	-5.75	0.8	21.0	25.3	0.830	100.0
AMP	1	8	9	-39.15	-29.39	-32.17	0.5	41.0	-39.2	2.046	49.1
Ruralco	0	7	7	-49.8	-31.56	-47.45	0	18.5	29.4	0.629	185.9
Transurban Group	1	7	8	-52.76	31.45	34.71	8.5	34.0	-6.4	6.313	243.7
ABC Learning Centres	2	5	7	-54.71	63.22	24.06	4	11.0	25.5	0.431	216.8
Mayne Symbion	2	7	9	-46.2	-8.89	53.21	0.5	13.0	40.3	0.323	162.0
Mayne Symbion	2	7	9	-65.45	11.1	36.31	1.25	14.0	24.5	0.571	196.6
AWB	1	12	13	-66.52	6.24	13.68	0.5	25.0	15.9	1.572	83.8
Tabcorp	1	7	8	-66.55	19.25	10.07	2	81.0	71.2	1.138	102.5
Forrester Parker	0	6	6	-78.62	9.78	-5.54	5	10.4	13.2	0.788	154.5
Grand Hotel Group	0	9	9	-83.03	-26.03	-16.4	2	15.5	-10.5	2.476	111.9
GUD	0	8	8	-112.16	-2.41	8.27	3	19.0	25.3	0.751	137.2
				-9.77	10.23	6.39	3.82	31.54	38.79	0.813	132.79

Source: authors' analysis

a) In the 46 acquisitions, there were 30 women in 22 of the acquiring firms.

b) Of the 46 acquisitions, 19 achieved a positive cumulative abnormal return (CARB) across the three years following the acquisition. The average CARB for the entire sample was -9.96%; for those acquirers where there were no women on the Board the CARB was -4.33%, and for those acquirers where there was a woman on the Board the CARB was -16.25%.

c) For the three years before the acquisition (CARD), the average return for the entire sample was 10.23%; For those acquirers with no women on the Board the CARD was 15.64%, and 5.86% for those acquirers who had a woman on the Board.

d) For the one year prior to the acquisition (CARC) the average return for the entire sample was 6.39%; For those acquirers with no women on the Board the CARC was 8.88%, and 4.8% for those acquirers who had a woman on the Board.

e) The Joint Tenure (J-TENURE) of the Chair and CEO of the acquirer at the time of the acquisition was 3.82 years for the entire sample; it was 4.88 years for those acquirers with no women on the Board and 3.09 years for those acquirers with at least one woman on the Board.

f) The dividend payout ratio (POR) for the entire sample of acquirers was 0.813 at the time of the acquisition. For those acquirers with no women on the Board, the POR was 0.576, and 1.153 for those acquirers who had a woman on the Board.

g) The remuneration change for the CEO following the acquisition was virtually identical for those firms with no women on the Board (+33.1%) compared to firms with at least one woman on the Board (+30.9%).

The gross effect indicates that gender makes a difference for M&A outcome. However, further consideration of control variables is necessary to ensure the finding of lower cumulative abnormal returns (CAR) are the direct result of females on the board and not an association with some unrecognised causative firm attribute.

5. CONCLUSIONS AND NEXT STEPS

Much of the literature on gender diversity in business leadership presents a positive picture of the beneficial outcomes which can arise from a more gender-balanced Board and senior executive structure. This paper has sought to highlight a range of articles on this matter and their conclusions. There is scope for a more extensive review of the literature.

The first part of this study draws on the outcome of a study by Garrow (2012), which tested three hypotheses. Some of the broad findings of this study, such as the success rate for acquirers, are consistent with other international studies. The key findings from that research are presented in this paper in section 4.1 above.

The second, and more recent part of this study, then examined the gender effect on a number of key variables such as CARB, the cumulative abnormal return to the acquirer during the three years following the acquisition. Most of these findings were unexpected by us, with the possible exception of the relationship of women on the Board and the magnitude of the dividend payout ratio, which was consistent with previous studies (Chen, Leung et al. 2017). However, they are in accord with those of Parola, et. al. (2015). Further research could examine whether certain firm characteristics accentuated or mitigated this trend. It could also explore whether this effect is present across cultural contexts.

The sample size is clearly an issue in this study for the gender analysis component, but the results are nevertheless interesting, even allowing for this. We hope to generate discussion around this at the conference, following which we are planning a larger scale study to explore this in more detailed, and in a more substantial way.

Appendix 1: Dependent and Independent Variables Examined

1. J-TENURE: period of joint tenure for Chairman and CEO at the time of completion for acquiring firm.
This was the period of time during which the Chairman and CEO have been in their respective roles together. The source of this data was the annual report of the acquirer.

2. REMCHG: change in acquiring firm CEO's remuneration in year of completion compared with prior year.
The data for CEO remuneration was taken from the acquiring firm's annual reports. During the early years of the period of this study, directors' remuneration was often presented in the notes to the accounts and stated within a narrow band, for example 1,400,001–1,410,000, in which case the mid-point of this band was taken as the CEO's remuneration for that period.

3. POR (Dividend payout ratio): Proportion of Diluted Earnings per Share for the acquirer paid as dividend in the year of the acquisition (NB, after goodwill amortization).
Agency Theory (Jensen & Meckling 1976) and Free Cash Flow Theory (Jensen 1986) make reference to the role of dividend payout ratios as an influence in M&A activity.

4. EPS: Earnings per share, in cents.
The EPS was for the acquiring firm in the year of the acquisition completion.

5. DIVISHARE: Dividend paid in cents per share.
This was the dividend per share paid during the year of the acquisition completion by the acquirer.

6. CARTOTOD: cumulative returns from the ASX Accumulation Index for the period up to three years prior to completion.
This was one of several measures of ASX market performance used in the study to examine the effect of overall market performance on acquirer outcomes.

7. NATGTACQ: Net Assets Target divided by Net Assets Yr -1 (for acquirer), as defined above.
This was the comparative measure adopted for the size of the target as a proportion of the size of the acquirer in order to examine if relative size was a significant factor in determining the outcome of an acquisition, particularly when compared with the size of the acquirer. Tuch and O'Sullivan (2007) cited studies which observe that

relative size can have an influence on M&A outcomes; this study also seeks to identify any statistically significant correlation with M&A outcomes.

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Gender, Diversity and Indigeneity
Refereed Interactive Paper

Impact of diversity, organisational culture and climate on performance in the Australian accounting profession

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BACKGROUND: A MULTICULTURAL AUSTRALIA AND ACCOUNTING PROFESSION

The escalation of Australia's multiculturally diverse population, and the inevitable accompanying changes, raises issues relating to acceptance and tolerance within an organisation's culture, climate and its impact on performance. Two decades ago Lewis, French and Phetmany, (2000) noted that although increased immigration has enriched Australian society, it has also presented employers with a number of complex problems and challenges.

The Australian Government Department of Employment (2017) labour market research into the Australian accounting profession, confirms that 'employers assert that many degree qualified international accounting applicants are considered unsuitable for their advertised vacancies', citing poor communication skills as the main reason. However, Certified Practicing Accountants, CPA Australia argues that international accountants are a critical source of a future labour supply for Australia (Tadros & King, 2014).

Davis, Frolova, and Callahan (2016), whose research covers diversity within a variety of Australian organisations, revealed similar patterns to those from Loosemore, Phua, Dunn & Ozguc (2011); D'Netto, Shen, Chelliah & Monga (2014) and Dalton, D'Netto, & Bhanugopan, (2015), They confirm that diversity in Australian organisations is not well understood and that leaders remain tentative in their approach to the effects of diversity on the changing culture, climate and performance of their organisation.

Addressing the issues raised by Cohen et al., (1993), that of the distinctive role of the profession in the business community, Kaiser et al., (2015, p. 78) argue that three elements set the accounting profession apart from other organisations when undertaking diversity studies through the lens of organisational culture and climate. Firstly, the profession is "knowledge intensive" meaning that

employees are the firm's most important resource. Staff retention in the profession can be tenuous as knowledge workers have the flexibility of moving to alternative employment with a degree of ease. Secondly, knowledge workers strive for career advancement and autonomy, making management of this group a complex endeavour. Knowledge workers often place their first loyalty to their clients rather than exclusive loyalty to their employer. Therefore, Kaiser et al., (2015, p. 78) argue that 'culture plays a major role in integrating the organisation'. Finally, the accounting profession has far-reaching interests, making knowledge workers pivotal to the firm's success as they offer critical insights and make a valuable contribution into external competitive markets.

On review of their organisational culture and climate research, Calegari and Jenkins, (2006) suggest that diversity may be an influential factor that impacts performance in the profession. According to Mor Barak, (2011, p. 262), benefits from an inclusive diversity culture and climate include (a) opportunities to drive business growth and productivity, (b) cost savings due to higher staff retention and lower absenteeism and successful recruiting, (c) improved public image and reputation.

Evidence points to the notion that changing traditional western style CPA infrastructure to one that supports international accountants and graduates requires a positive buy in from all top tier managers and partners. Studies by The American Institute of Certified Public Accountants (AICPA, cited in Jenkins and Calegari, 2010, p. 131) maintain that for accounting firms to improve their competitiveness, 'they need to recognise the importance of promoting a diverse workforce' and that the demographic landscape is rapidly changing, that partners must abandon archaic policies and 'initiate effective practices that fit the reality of their multicultural workforce'. The AICPA predicts that by 2050, the majority of Americans will be from non-Caucasian backgrounds and eventually, as a precursor for survival, organisational cultures and climates will develop into inclusive leadership and management practices. Despite these conclusions originating from an American perspective, there is no reason to suggest that these findings do not translate to Australian conditions.

RESEARCH PROBLEMS

Research into the accounting profession, as stated by Kaiser, Kozica, Swart, & Werr, (2015), remains comparatively rare. However, while some progress into management practices leading to

organisational cultural change have been made, the authors suggest that given the increased diversity of the workforce and continuing globalisation, it should be much higher on the research agenda.

Similarly, Bertone and Leahy, (2003); Almeida and Bertone, (2013) found Australian research into workplace diversity was not only sparse but infrequently accessed by Australian organisations. Moreover, early observations by Cohen, Pant & Sharp, (1993) found that diversity literature has not taken into consideration that accounting firms may be distinctive from other organisations, that research into this sector is not only limited but tends to focus on management's compliance with legislative guidelines rather than look further afield to consider diversity within the framework of culture and climate as influencers of performance.

This limited focus into Australian workforce diversity has led to a reliance on American and European studies, van Knippenberg and Mell, (2016; Guillaume *et al.*, (2017); Avery and McKay, (2010); Ehrhart, *et al*, (2014); Schneider, *et al*, (2013); Mor Barak, (2015) for detailed and up-to to date discussion and conclusions into how diversity, culture and climate, impacts performance

Despite substantial global research related to diversity, culture, climate and performance, little is known of Australian conditions or experience, which may be for several reasons. Firstly, the demographic of Australian society has changed significantly over recent decades, aided and abetted by increased immigration and international students graduating from Australian universities. Secondly, the majority of the research originates from international studies, often from the perspective of global, multinational organisations. Finally, further research is both recommended and highly desirable, as advocated by Guillaume *et al.*, (2017); Ehrhart et al., (2014) and others to identify how different, independent moderators, such as a diversity, culture and climate, inclusive leadership, behavioural norms, cultural fit and values interact with each other, providing an integrative diversity management framework that clarifies how workplace diversity yields positive outcomes. As Bouncken, Brem and Kraus, (2016), explain, diversity is often seen as source of innovation and creativity, but faced with operational and communication difficulties, fails to capture the challenges of harnessing their potential unless managed effectively.

McKay et al.(2009) and Guillaume et al.(2017) encourage a more comprehensive research approach, to maintain not only a management and leadership focus but to also branch into the new frontier of diversity research, to examine more closely the benefits of integrated culture and climate and the impact on performance. Emanating from long ago research, Holmes and Marsden (1996) pose the question 'what does the impact of differences in values have on employee behaviour?' To date, Guillaume et al., (2017), fully supported by Schneider *et al*. (2013, 2014) and Avery and McKay (2010), claim that this question has still not been fully answered, and advocate further research into the integration of a strong culture and climate and their potential to impact performance in a diverse workplace. As Ehrhart et al, (2014, p. 303) point out, 'we need to know more about the conditions under which culture is likely to have the strongest or weakest effects… to clarify which aspects of culture and climate are the most effective for improving performance'. The foregoing discussion has raised the following questions:

1. *How has the profession adapted to the increasing cultural diversification of its workforce?*
2. *How does diversity, organisational culture and climate impact performance in the profession?*

OBJECTIVES OF THE STUDY

This study investigates an archetypical Australian professional accounting firm, one that is considered representative of a mid-size firm, with a revenue stream of approximately $18m and a profile of between 6 – 8 partners and 60 – 80 employees. The profile and demographics for this firm was generated through an analysis of the Australian Financial Review's Annual Report of the "Top 100 Accounting Firms, 2018" (van Koesveld, 2018). A fictional firm, with the fictious name of DCC Accounting Services, was formed as a case study to safeguard professional confidentiality and act as a point of reference to capture the extent of workforce diversity across comparable firms, the ensuing organisational culture and climate and their impact on performance.

The objective of this study is to gain a deep understanding of the holistic operations of an Australian professional firm with a diverse workforce that meet the demographics of cultural diversity for this study. Through a close understanding of the experiences and perceptions of immigrant accountants working in the profession, the study will investigate the diversity, culture and climate that

generate current levels of performance and, through a conceptual framework, provide a business case that clarifies how these moderator's impact performance, financial success and employee wellbeing.

DIVERSITY

The Equal Opportunity and Diversity Commission (EODC) provided a comprehensive portrayal of diversity in the workplace as 'having employees from a wide range of backgrounds, ages, gender, ethnicity, abilities, sexual orientation, religious belief, educational background' (Equal Opportunity Act_Equal Opportunity Commission (SA), 1984).

Similarly, the literature presents a vast array of diversity definitions and meanings, creating some confusion about the nature of diversity (Mor Barak, 2011). The term diversity for this study can best be described on the basis of national culture and ethnicity, of demographic categories, identity differences and life perspectives and conditions.

DIVERSITY IN AUSTRALIAN ORGANISATIONS

Taking this narrow approach to researching workplace diversity for this study has not been without its challenges as 'diversity literature has tended to take an ad hoc approach with too little development on theoretical frameworks applied to the study of diversity', (van Knippenberg and Schippers, 2007, p.533), adding that there remains a lack of empirical attention to the underlying issues affecting diversity. However, it is important to qualify van Knippenberg and Schippers, (2007) observation with another, that of a more general direction of the diversity literature within the Australian context. The literature has tended to approach diversity from a human capital perspective, investigating factors relating to diversity management and human resource management (HRM) within the context of generic Australian organisations.

Research emphasis has predominantly focused on the influence of diversity management on productivity and competitive advantage (De Cieri and Kramer 2005), Equal Employment Opportunity legislation and compliance (Teicher and Spearitt 1996), HRM influences (Bartram 2005); (Kaiser et al., 2015).and diversity management as a means of improving profitability (Davis, *et al.* 2016), whereas Bertone and Leahy (2003); Almeida & Bertone, (2013); (Birrell & Healy, 2008), point to intolerance

of diversity remaining pervasive in Australian organisations, exposing the ramifications and missed opportunities that can result from such attitudes.

Such a narrow approach leaves a gap in academic research, creating an opportunity to investigate further the construct of social marginalisation, based on nationality and ethnicity, where firms favour a homogenous workforce. Initially this occurs at the recruitment and selection stage and subsequently, raises barriers, often invisible, to reward and recognition practices and career opportunities during ongoing employment (Almeida and Bertone 2013); (Mor Barak, 2015); (McKay et al., 2007). These and other scholars advocate for a broader research approach, to investigate diversity more fully, from the perspective of inclusion and pro-diversity culture, climate and performance.

To understand how diversity interacts with organisational culture and climate and then impacts performance, a brief description of culture and climate is in order.

> *An organisation's culture is the pattern of basic assumptions that a group has invented, discovered or developed in learning to cope with its problems of external adaption and internal integration, and that have worked well enough to be considered valid and therefore to be taught to new members as the correct way to perceive, think and feel in relation to those problems. In this sense a culture represents a pattern of beliefs that have been learned with or from other members of an organisation. Organisation climate is closely associated with culture. It is the generalised perceptions that people employ in thinking about and describing aspects of their organisations, its structures, goals, philosophy, management style, decision making, trust, state of industrial relations, and the wok itself (Schein, 2010).*

This study aims to continue the work and advance the knowledge from previous scholars who have influenced the landscape, to capture the Australian context, culture and climate of the modern-day, diverse workplace.

DIVERSITY IN THE ACCOUNTING PROFESSION

These challenges are apparent throughout the profession, making it important to understand the bigger picture, of organisational complexity, exclusion or underutilisation of immigrant professionals, Ho and Alcorso, (2004), susceptibility of immigrant accountants to social biases underlying Western cultural values, prejudicial recruitment practices, and by extension, limited career opportunities (Almeida and Bertone 2013); (Parry and Jackling, 2015).

A 2016 review of PwC (Australia) by Scobie, (2016) reflects how diversity in the profession is portrayed. CEO, Luke Sayer, affirmed that diversity is inevitable and that under his leadership it was proposed "to increase the cultural diversity of partners from 17% to 30% by 2020". On closer examination, this proposal merely attests to gender diversity at board level, not as might be construed, of cultural diversity across the firm. Although a sign that gender diversity is being addressed at partner level, there remains the unspoken issue of cultural diversity across all levels of the organisation (Scobie, 2016).

CULTURE AND CLIMATE IN THE ACCOUNTING PROFESSION

It is conceivable to presume that as a long standing, prominent and influential member of the business community, at all levels of economic activity, the profession has developed a distinct organisational culture and climate that permeates not only individual firms but the overall professional accounting sector. Anderson-Gough, Grey, & Robson (2002), argue that although there is some progress of balancing cultural diversity in larger professional firms, there remains evidence of a predominant "Western Anglo-Saxon Protestant" (WASP) community dominating the organisational culture.

These conclusions also prevail in the Australian profession, as revealed by Almeida and Bertone (2013); Birrell, Hawthorne, & Richardson, (2014) and James & Otsuka, (2009), pointing out the susceptibility of immigrant accountants to social bias that underly WASP values within the profession. Their studies show that employer preferences identified low levels of tolerance and acceptance of immigrant candidates.

Embedded in the culture of the profession, it has at its core, a degree of rigidity, immersed in policies, procedures and accounting standards, geared to compliance regulations within the framework of taxation law, corporate governance, insolvency and fiducial responsibility. Spence and Carter, (2014) state that the profession is closely associated to professional standards and principles, to meeting client service obligations.

The accounting profession continues to move in the direction of globalisation, as argued by Parry and Jackling, (2015), which has culminated in the growth of its diverse workforce. Research focus has been, to a large extent, on the positives of diversity and organisational culture and climate, on leadership support of a pro-diversity culture, Schein, (2004); Mor Barak, (2015); Guillaume *et al.*, (2017), one the links to goal achievement, performance outcomes, effectiveness, efficiency and productivity, Ehrhart, *et.al*, (2014), but there remains a conundrum. Namely, despite such overwhelming evidence, the profession continues in its endeavours to sustain a homogenous culture that excludes, whenever possible, accountants from international and diverse cultural backgrounds.

CULRURE AND CLIMATE: AN INTEGRATED APPROACH

Since the 1980s, organisational culture has been a popular research topic in management literature, where authors claim that an organisation's superior quality and effectiveness result from the common ways that employees learn to think, feel and behave (Hofstede, *et al*, 2010). Organisational culture is linked to performance outcomes, effectiveness, efficiency and productivity and is often described in terms of usefulness for high achievement levels, employee commitment, a higher likelihood to enact behaviours which optimise organisational objectives and goals (Ehrhart, *et.al*, 2014). Similarly, climate research also has a long ancestry. Moran and Volkvein, (1992, p.2) maintain that climate is 'a relatively enduring characteristic…which distinguishes itself from other organisations…embodies collective perceptions, autonomy, trust, cohesiveness, support, recognition, innovation and fairness…reflects the norms, values and attitudes of the organisation's culture and acts as a source of influence for shaping behaviour'.

Although both constructs have similar as well as dissimilar traits, each has mainly been presented in the literature as a stand-alone phenomenon, in isolation of the other without making comparisons or connections. However, Ehrhart, *et al*, (2014) point out that the relationships between organisational culture and climate are intertwined, with lines becoming blurred as to what is meant by both constructs, encouraging organisations to build stronger relationships between the two with the expectation that each can profit from the strengths of the other, benefiting both research and practice.

Additionally, Ehrhart *et al.,* (2014) argue underpinning a shared approach, where culture and climate are integrally related and supportive of each other yet remain relatively independent in terms of their distinctive aspects of organisational effectiveness. Bringing these two traditions together, with an understanding how each of the elements of culture and climate interrelate, will add significant insight and knowledge to the academic field and to organisations that the research serves, in this case the profession.

PERFORMANCE

A strong, definitive description of performance has not emerged from the literature, with Otley, (2001, p. 251) suggesting that it is 'something of a weasel word in that it appears to mean very different things to different people…often using it to cover a lack of shared understanding'. Siehl & Martin, (1989, p. 7) suggest that 'culture researchers generally operationalize performance with financial ratios', tangible measures at organisational level, frequently linked to financial ratios such as return on assets, return on equity, return on sales and earnings per share. However, tangible financial measures alone, fail to consider the intangible, subjective processes that provide evidenced data on performance, such as effectiveness, productivity, and wellbeing of employees and the organisation. Intangibles are not assets in the customary sense of accounting evaluation, but are more aligned at employee level, of perceptions, individual competencies such as knowledge, commitment, loyalty, relationships and on organisational culture.

Financial success and performance are fundamental concepts and therefore important in understanding the structure and profit culture in the accounting profession. Accounting firms, irrespective of size, have similar mission statements, identified by (Maister, 2003, p. 3), who includes terminology such as (a) 'deliver outstanding client services, (b) provide fulfilling careers and professional satisfaction for our people, and (c) achieve financial success so that we can reward ourselves and grow'. Although articulated in various forms, from partner's and manager's perspectives, these three objectives are central for their firms to succeed and flourish.

The diversity literature makes no promise of improved performance or financial success, but rather, informs both positive and negative outcomes as a consequence of organisational culture and climate, where Guillaume et al., (2017) argue that 'it remains unclear which contingency factors make it work'. However, Siehl & Martin, (1989, p. 9) argue that financial success may be attributable to a 'strong cultural emphasis on certain humanistic values such as concern for personal wellbeing of employees, and consensual decision making and so forth'.

Whatever the reasons, or evidence which point to benefits of workplace diversity or not, Avery and McKay (2010) argue that an organisational culture and climate, devoid of effective diversity leadership, can prove costly to the bottom line, in the form of internal conflict and litigation against unfair work practices, loss of reputation and disruption to performance (Roberson and Park, 2007).

However, scholars have long argued that a pro-diversity culture and climate, one that supports social equity through inclusive policies and practices, result in wellbeing and higher performance levels than those that promote a profit culture to the exclusion of all other considerations (Ehrhart et al., 2014; Mor Barak, 2015; Guillaume et al., 2017; Avery & McKay, 2010).

CONCEPTUAL FRAMEWORK DEVELOPMENT

The findings by Ehrhart et al., (2014); Guillaume et al., (2017) and others, have guided the objective of this study, to isolate and understand the moderators of diversity, culture and climate in the accounting profession, and provide the essence to uncover how these moderators effect performance. The conceptual framework is developed to answer the research questions and achieve the study's objectives.

To illustrate the complexity of the interrelationship of culture and climate, Guillaume et al. (2017, p. 293) provide a detailed example of the different types of moderator variables, independent of each other and yet undeniably interrelated. Guillaume et al. (2017, p. 276) suggest that 'a better understanding of these interrelationships might help future research to develop an integrative diversity management framework and better explain when workplace diversity yields positive outcome'.

The conceptual framework development aligns with the multidisciplinary focus of this study, as specified by Morse, Hupcey, Penrod, Spiers, Pooler and Mitcham, (2002, p. 1), who state:

> *"Characteristics identified from previous inquiry that provide an internal structure that provides a starting point for observations, and interview questions, and for analysis. The researcher proceeds by building on these structures or categories, padding them out or "giving them flesh" and organising the ways they fit together"*

Additionally, Rocco and Plakhotnik, (2009, p. 122), propose that 'the literature review, conceptual framework and theoretical framework, share five functions, namely to build a foundation, to demonstrate how a study advances knowledge, to conceptualise a study, to assess research design and instrumentation and to provide a reference point of interpretation of findings'. In reference to these authors, combined with the literature review analysis, this overarching diversity framework, shown as *Fig.1,* identifies the individual moderators which provide a blueprint, adapted and modified from Guillaume et al., (2017, p. 293) to develop the conceptual framework to meet the objectives of this this study.

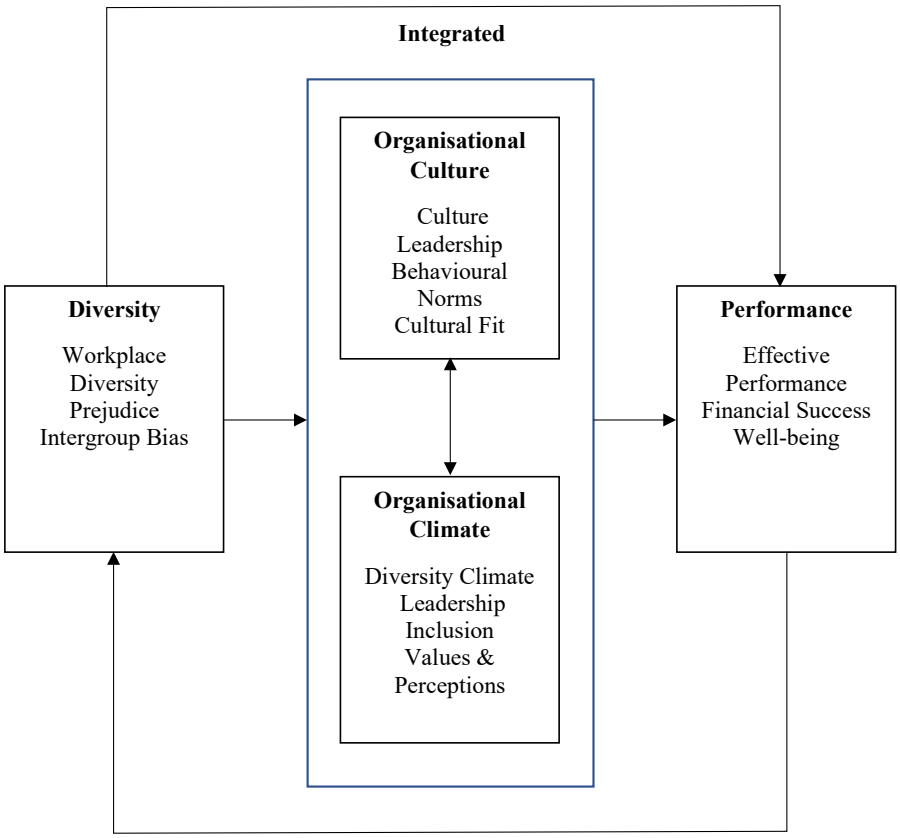

Fig.1.Conceptual Framework of Diversity, Integrated Culture, Climate and impact on Performance Adapted from Guilluame et al 2017

From the literature review it is understood that workplace diversity, as applied to this conceptual framework, has at its core, a number of clear and precise guidelines. Firstly, diversity is that of ethnicity and cultural diversity, specifically of overseas born (or of parents from overseas) accountants, educated either in their country of origin, or at an Australian university. Secondly, although EEO legislation is referred to briefly in the literature review, this framework does not overlap into issues surrounding gender, disability or socio-economic status that may obscure or distort the intention of the framework. Nor does it utilise the term "minority groups", so prevalent in American literature, which may have unintended interpretations and nuances within the Australian context. However, terms such as intolerance, discrimination and prejudice have been expressed in the research and have a foothold within corporate and management literature, as exemplified by Almeida and Bertone, (2013); Bertone and Leahy, (2003), Birrell and Healy, (2008); James and Otsuka, (2009); Cho and Mor Barak, (2008); Mor Barak, (2011, 2015); Roberson and Park, (2007) and many others. Thirdly, workplace diversity for this study is conceptualised only within a specific Australian corporate and economic sector, that of the accounting profession.

This window into the profession, encapsulated within the framework, allows for investigation of the experiences and perceptions of the accountants working within it. The literature is unclear as to what generates effective performance, not only from an Australian perspective, where the volume of research is somewhat limited, but also from the main source of corporate management research in the USA and UK.

Further, the literature illustrates, within the confines of the profession, that to adopt policies and procedures that "manage" diversity it is necessary to provide firms with financial objectives that demonstrates a return on investment. Particularly, a positive business case must be made as a consequence for developing a pro-diversity culture and climate, that actively generate strategies for growth, innovation or services that lead to improved performance and financial success (Spence &

Carter, 2014); (Maister, 2003). The objective of this study is to demonstrate what culture and climate styles generate behavioural norms that promote improved performance.

CONSLUSION

This paper has provided the background and challenges related to the escalation of diversity in the Australian workplace, predominantly within the context of the Australian accounting profession, examining the moderators of diversity, culture and climate that influence performance.

Although scholars remain divided on precisely which elements of culture and climate impact performance in a diverse workplace, the empirical research points toward a recognition that an integrated culture and climate may impact performance and financial outcomes but remains unclear exactly which moderators are at work that drive those outcomes.

The conceptual framework for this study has emerged from previous research literature, encapsulating the elements that have evolved over many decades and is aimed at addressing the lingering knowledge gap, as encouraged and recommended by many scholars, in an endeavour to find a path that identifies how diversity, culture and climate drive effective performance. It is expected that the research findings will provide policymakers and practitioners with a set of directions to follow and strategies for the future success of HRM programs.

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Basic Needs Community Mental Health Development:
An Exploration of the Perspectives of Key Stakeholders

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INTRODUCTION

The World Health Organization (WHO) estimates that over 614 million people in the world suffer from serious mental illness, with most of them living in the developing world (Roser & Ritchie, 2018). Some social commentators have referred to the failure in addressing global mental health as "a failure of humanity" (Kleinman, 2009, p. 603). A new WHO resolution led by India, USA and Switzerland has called for a comprehensive response to the global burden of mental illness by safeguarding the human rights of persons with mental disorders and "empowering those who are mentally ill by involving them in all stages of decision making" (Hock, Or, Kolappa, Burkey, Surkan & Eaton, 2012, p.1367). The WHO Mental Health and Development report notes that mental health is a development issue in countries with low to middle incomes, as there are enormous social and economic costs that are associated with mental health (Funk, Drew, Freeman, & Faydi, 2010). Although the landscape of global mental health presents a picture of apathy and neglect by mainstream interlocutors, and those suffering from mental illness have largely been marginalised, isolated and deprived of their basic human rights, there is some glimmer of hope. An empowerment based approach for supporting the economically disadvantaged people with mental disorders called the Community Mental Health & Development (CMH&D) approach, was developed in Southern India in 2000 through a process of community consultations and is now adopted by 12 countries, reaching over 640, 700 people as of June 2015 (Basic Needs, 2015). .

The CMH&D approach consists of 5 separate but interlinked interventions (see Figure 1), which are: (a) community mental health, (b) capacity building, (c) sustainable livelihood; (d) research and advocacy, and (e) administration and management (Kalliath, Bedi, & Raghavendra, 2015). Initial consultation workshops that were held between the years 2000-2001 in Southern India brought together Mr. Chris Underhill (Founder Director, Basic Needs, UK), Mr. D. M. Naidu (Director, Association for People with Disability, India (APD), other community leaders, field-workers, representatives of non-government organizations (NGOs), and people affected by metal illness and their families from the disability and community sector. These consultations led to a decision to launch Basic Needs India (BNI) in Southern India in 2001 as a registered Trust. The five components that emerged from grass root consultations were incorporated into the Community Mental Health and Development (CMH&D) approach adopted by Basic Needs India (BNI). The CMH&D approach was first field-tested in South India in September 2000 by MR. D. M. Naidu and his team. BNI was visualised as a resource organization that would work with partner NGOs for implementing the CMH&D approach to mental health promotion.

By 2007, the CMH&D approach was adopted in six states across India covering 38 districts involving 12, 370 persons with mental illness (Naidu & Raja, 2008). The focus of the approach included: (a) empowering persons with mental illness and building their capacity to become involved in development activities; (b) improving access to mental health services through community based programs; (c) ensuring the right to work for people affected with mental illness; and (d) addressing stigma, discrimination and exclusion of people affected with mental illness from communities and mainstream development (Naidu & Raja, 2008).

Theoretical Framework. The concept of positive mental health encompasses the abilities of an individual to develop psychologically, emotionally, intellectually, socially and spiritually. The emphasis on positive mental health is embodied in the definition of mental health proposed by WHO: "State of well-being in which the individual realises his or her own abilities, copes with the normal stresses of life, works productively and fruitfully and makes a contribution to his or her community (WHO, 2001, p1)". Thus, positive mental health is not simply the opposite of mental ill-health. Investigations by Keyes (2005) show that positive and negative wellbeing are not ends of a single continuum, but rather constitute distinct, though correlated, axes. Barry (2009) argues that the absence of mental disorder does not equal the presence of mental health. According to Keyes (2005), when compared to those who are flourishing, moderately mentally healthy and languishing adults have significant psychosocial impairment, poorer physical health, lower productivity and

limitations to daily living. In recognising psychosocial determinants of mental health, Barry (2009) advocates interventions that strengthen individuals and communities, reduces poverty, discrimination, and inequalities. These include interventions targeting individuals such as effective communication, generic life-skills, relationship building and coping skills, resilience, self-esteem, and sense of control (Barry & Jenkins, 2007). Interventions advocated by the positive mental health approach are a fundamental part of the CMH&D approach such as capacity building, promotion of self-help groups, interventions to reduce poverty through greater participation of people affected by mental illness in the workforce, and strengthening community networks. Preliminary evidence from the field support the efficacy of CMH&D approach.

In a 2-year prospective cohort intervention study in rural Kenya, Lund, Waruguru, Kingori, Kippen-Wood, Breuer, Mannarath, and Raja (2013) evaluated outcomes for participants (N=203) of the CMH&D program. Lund et al. (2013) reported significant improvements in metal health, quality of life, social functioning and economic activity for participants in the study, as evidenced by improved GHQ-12 scores (General Health Questionnaire) and increased median family income. Lund et al. (2013) concluded that the multi-component CMH&D program may simultaneously be acting on both social causation and social selection/drift mechanisms to yield changes observed in the sample over the two year period.

While evaluation studies have been useful in providing some preliminary evidence about the efficacy of the CMH&D approach (Gururaghavendra, Jacob, & Muniraja, 2011; Lund, Waruguru, Kingori, Kippen-Wood, Breuer, Mannarath, & Raja, 2013), the focus of the present study was to explore the perceptions of key stakeholders such as the Trustees and staff of BNI, members of NGOs and community based Federations, field workers, and persons with mental illness and their carers about their experiences of engaging with the CMH&D program. The overarching aim of the study was to obtain perspectives of these stakeholders about their experiences in promoting and participating in community mental health development as proposed by the CMH&D program. Throughout this report the terms 'CMH&D program' and 'CMH&D approach' are used intermittently to refer to the concept under study.

Figure 1. Community Mental Health & Development Program Components

METHOD

Research Design. This pilot study utilised a qualitative methodology. Qualitative methodology is frequently used in social inquiry because of the richness of data it provides (Sarantakos, 2013). This methodology enabled the researchers to gain in-depth understanding of a complex phenomenon, and the meanings and interpretations that people attach to a phenomenon (Braun & Clarke, 2006). It afforded an opportunity for the participants to share their personal experiences of working with people with mental illness and engaging in community mental health development. It also enabled people with mental illness and their carers/families to voice their views.

Sample and Data Collection. Sample for the study included pioneers, Trustees and staff of Basic Needs India; fellows and mentors involved in BNI's Fellowship Program; stakeholders from partner organizations, carers/family members and persons with mental illness who have received support either from Basic Needs India or their partner organizations. The partner organizations included: (a) Samuha Samarthya, an NGO working in three Karnataka districts of Koppal, Raichur and Karwar covering a population of 6, 86,184; (b) Grameena Abyudaya Seva Samasthe (GASS) based in Doddaballapura covering a population of 2, 68, 332; (c) Narendra Foundation based in Tumkur district, Karnataka covering a population of 1,84,139.

The Data for the study were collected in two stages: The first stage of data collection occurred in September-October 2013 and the second stage in December 2014. In the first stage 12 participants including pioneers, Trustees and staff members of Basic Needs India were invited to participate in in-depth interviews which lasted between 60-90 minutes. These members were invited because of their contributions and long term association with Basic Needs India. In-depth interviews were also held with the Director of Samuha Samarthya, a large NGO working in close partnership with Basic Needs India, and with the President of Swami Vivekanand Federation, Tumkur district. Seven focus group discussions were held involving fellows/mentors, members of local Federations and carers/persons with mental illness. These focus groups included (a) 10 fellows/mentors (8 males and 2 females) from Koppal; (b) 18 fellows/mentors (12 males and 6 females) and 10 carers/persons (6 males and 4 females) with mental illness from Raichur (Prati Dhawani); (c) 12 carers/persons (10 females and 2 males) with mental illness from Raichur; (d) mix of fellows/mentors (4) and (5) persons with mental illness and their carers was held in Narendra Foundation, Tumkur; (e) 16 members (13 males and 3 females) of Swami Vivekanand Federation and Narendra Foundation, Tumkur district; (f) 17 persons with mental illness (13 females and 4 males) and 9 carers (5 females and 4 males) from Grameena Abyudaya Seva Samasthe (GASS), Doddaballapura; (g) 10 members (5 males and 5 females) of the Suryodaya Federation from Grameena Abyudaya Seva Samasthe (GASS), Doddaballapura.
In the second stage of data collection which occurred in December 2014, data were collected via a workshop with 16 fellows/mentors who were divided into four groups of 3-5 members in each group based on their region of work. The participants were contacted by Basic Needs India wide an information letter providing details about the study. In-depth interviews were conducted in English while all the focus group and one in-depth interview with the President of the Federation, Narendra Foundation were conducted in the local Kannada dialect. All interviews were taped and later translated and transcribed in to the English language.
Data Analysis. The data that were collected in the local Kannada dialect was translated into the English language and then transcribed. Data were analysed using thematic analysis which is a commonly used method of analysis in the social sciences, and it provides a rich and detailed account of the key themes emerging from the data (Braun & Clarke, 2006).

RESULTS

The data that were collected from multiple sources were analysed using thematic analysis. The results presented in this section are organised under the following headings that reflect the five components of the CMH&D approach: (a) community mental health; (b) capacity building; (c) sustainable livelihood; (d) research & advocacy; and (e) administration and management.

Community Mental Health. A BNI Trustee shared that "Community mental health concerns itself with identifying people with mental illness, motivating them to seek treatment and ensuring that they are provided with appropriate treatment so that over a period of time they are able to reach a stable condition". In collaboration with partner organizations, this task involved working closely with primary health care doctors in making them aware of the prevalence of mental illness in their jurisdictions. Medical camps were held where treatment was provided to those affected by mental

illness. As some field workers from a partner organization Samuha shared: "We started medical camps for the mentally ill with the help of a local doctor who was sensitive to the needs of the mentally ill and was motivated to work for them. Every month 4 camps were held which created awareness amongst people who started coming for treatment. The doctors also gained exposure to mental health issues. We then started advocating for psychiatric services for the mentally ill including a psychiatrist in the district hospital, psychiatric wards in district hospitals, and ensuring that psychiatric drugs were available". Some field workers shared that initially no treatment was available to the mentally ill, and doctors from Primary Health Centres (PHC) often lacked the expertise and confidence in diagnosing mental illness and working with mental health related issues. Intense advocacy work by partner organizations resulted in mental health treatment being made available to the mentally ill in locations closer to their villages. A member of a partner organization shared that through their advocacy efforts, they had managed to obtain an order from the District Health Officer (DHO) for a government vehicle to be made available to doctors attending medical camps. Although this action may seem trivial in the context of services that are available to physicians in developed countries; when considered in the context of a poor rural village in India faced with extremely poor transport facilities, this initiative was seen as a major leap in recognising the importance for providing mental health services to these marginalised areas.
Understanding of Mental Illness in the Community: People living in poor rural communities often lack the awareness and understanding of mental illness. The task for creating a better understanding of mental illness amongst members of the community is considered vital by BNI and their partner organizations. Unusual behaviours that may be exhibited by a person with mental illness can create fear amongst family and community members which consequentially impact on the care and acceptance of the person with mental illness. This was reflected in the following statement by one of the BNI Trustees: "Many people do not know much about mental illness. There is an element of fear, antagonism and hostility towards a person with mental illness".

Along with their partner organizations, BNI initially focussed their work on creating awareness about mental illness and its signs and symptoms. This awareness led to a greater acceptance of the person with mental illness by members of their family and the community in which they lived. A greater acceptance of the person with mental illness contributed to a level of comfort in engaging with the person with mental illness as people became aware that there were no reasons to fear a person with mental illness. A BNI Trustee shared that: "The initial hostility and antagonism towards the mentally ill subsided and this led to improved interactions with the mentally ill and a realisation that it is just an illness and the person needs all the help and support people can give them". In the village and even outside there is hesitation to relate with a family where someone has a mental illness. Often people say we cannot have a relationship with that family because there is mental illness in their home. A member of a partner organization Samuha aptly said: "100 per cent recovery is possible only if the community's attitude towards the mentally ill is positive and accepting".

Capacity Building. The importance of building human resource capacity at multiple levels with key stakeholders is critical for community mental health development work. Four key stakeholder groups where capacity building is occurring within the CMH&D program include: (a) capacity building of field staff; (b) capacity building of partner organizations; (c) capacity building of carers; and (d) capacity building of persons with mental illness. In the following sections, the capacity building efforts for each of the groups is discussed.

(a) Capacity Building of Field Workers: BNI recognises that field workers are pivotal to effective service delivery and therefore building their capacity through ongoing professional development is essential. Three areas that were identified essential for capacity building of this group include development of knowledge, skills, and attitudes that are appropriate for practice in mental health. For example, these include the ability for field workers to identify a person with mental illness, understanding the various types of mental illness/mental disorders, differentiating

between stress and mental illness, identifying the signs and symptoms of mental illness, identifying clients who may require immediate referral to medical personnel, communication skills in interacting with persons with mental illness and their families, challenging stereotype images of the mentally ill, relating with empathy and sensitivity, understanding stressors experienced by carers, awareness of one's own values and attitudes towards mental illness, awareness of superstitious beliefs in the community, and an appreciation that mental illness can be treated effectively.

(b) Capacity Building of Partner Organizations: Partnerships with community organizations is central to the promotion and implementation of CMH&D program. A key stakeholder from a partner organization shared how BNI encouraged their organization to have a vision: "BNI strengthened our system and our values. They taught us to have a vision for the organization. They used to come and sit with us, with the community. We have learnt a few initiatives from them, for example participatory evaluation was a new initiative we learnt from BNI". Community consultations that were initiated by BNI which included discussion of community issues and concerns, policies, governance, administration and the government were appreciated by the partner organizations. The consultative approach adopted by BNI was experienced by the NGOs as refreshingly new. Forming alliances and partnerships was a new way of working for a common cause - mental illness. Capacity building of partner organizations occurred through BNI's training programs. Skills in raising awareness of mental health issues in the community were taught. Administrative capacity for partner organizations to work effectively with the community and the government was enhanced through regular communication with BNI and its approach to mental health. Discussions with BNI about the role of community Federations, and Federations taking responsibility for their communities, led partner organizations to question the viability of this approach without putting supports in place. Some partner organizations were of the view that if Federations were to be successful in their work, ongoing support from BNI and the partner organizations is essential. The following statement by a member of a partner organization reflects this: "So earlier we formed the Federation. Sustaining this is not easy because external forces are very strong compared to our Federation. We have to strengthen the Federation therefore some support from BNI has to be there behind the Federation. It takes time; it is not easy to continue if support is withdrawn".

(c) Capacity Building of Carers: Carers often find themselves at the coalface of difficult behaviours that can be exhibited by a mentally ill person. As one of the field workers expressed in the following statement: "In the case of severe mental illness one cannot contain it within one self. It spills out and those close are the ones who usually get the brunt of it". Carers too require knowledge about mental illness so that they can recognise mental illness in their own families or immediate surroundings. As a BNI staff member shared "the initial diagnosis does not happen in the hospital. It happens in the family". In a rural community it is not uncommon for communities to carry misconceptions about mental illness such as 'being possessed by a demon' as was shared by a field worker. Some field workers reported that in such situations there is the danger that families may begin to perform misguided interventions such as taking medicines prescribed by a quack (local self-proclaimed doctor) and complicate the situation further. Educating caregivers about mental illness, its manifestations in behaviours, providing information about available resources and ways to avail of these is recognised by BNI as essential components of carer capacity building.
Treatment of the mentally ill is a long slow process which can extend over several years and put tremendous burden on carers. The following statement by a carer when asked why she tied her young daughter with chains, encapsulates the difficulties experienced by them: "I am quite old. I have no energy. I have to do other things as well. It is not easy as the hospital is quite far and I cannot afford to lose a day's wage".

(d) Capacity Building of Persons with Mental Illness: Loneliness and isolation can grip a person with mental illness, notwithstanding rejection by those around them. Respecting the person for who they are and treating them with dignity are simple ways of role-modelling appropriate behaviours to a person with mental illness. As one key stakeholder reported: "Just calling a person by their name makes a significant difference to the person and their family. That he is being

recognised as a human being". Some field workers reported that when professionals establish rapport with a person with mental illness, they role-model pro-social behaviours and the person with mental illness learns appropriate ways of relating with an outsider. This initial rapport is further enhanced and strengthened through on going contacts, and the person with mental illness progressively learns to maintain external relationships (e.g., with members in the immediate community). Field workers were of the view that depending upon the capacity of the individual and nature of their illness, a person with mental illness must be given information about their illness, what they may be experiencing and why, and the importance for seeking medical help.

Sustainable Livelihood. In promoting community mental health, creating opportunities for livelihood (employment) is considered by BNI as essential not just for generating an income but also for enhancing the mental health and wellbeing of people with mental illness. As a key BNI stakeholder stated: "Sustainable livelihood enables self-reliance; it has to do with dignity and non-discrimination. It enables a person with mental illness to be brought back to the mainstream". Another key stakeholder from a partner organization associated 'work' (whether paid or unpaid) similar to medicine when he said "the importance of work is also part of medicine; proper guidance and training is needed to convey the message that work is part of healing". Therefore work is critical not only for improving the economic condition of a person with mental illness and their family, but it is therapeutic and restores confidence in the individual.

Field workers provided several examples of how they become involved in helping people achieve livelihood. A common theme was by assisting them avail of government pensions and other government benefits including utilization of 3% grant given by the government to people with a disability. In other cases field workers were instrumental in assisting people to obtain housing grant for the poor, loans for establishing small vegetable shops, linking them with nationalized banks to obtain loan for starting a small business etc. This is captured in an example provided by a field worker from Tumkur: "Through self-help group loan scheme many people were provided with loans for petty business like flower selling, idly shops etc. Also, there were successful attempts to link them with nationalized banks where they were given subsidies for the loans".

It was noted by a stakeholder from a partner organization that seldom do they make a distinction made between physical disability and mental illness. The following statement captures this sentiment: "Physical disability and mental illness are not exclusive to one another. It is not uncommon to find a person who is suffering from a long-term disability, experience severe depression and anxiety. Hence addressing issues of mental illness are important in the work we do". Some field workers were of the view that people with mental illness should be able to live independently in the community by taking up any employment that is appropriate to the skills they have. As an example, field workers from Thamate (Tumkur) proudly shared their successful work with scavengers (Jadamalis) who like the people with mental illness are marginalised by the community in which they live: "The scavengers engage in menial work with little returns. There is an expectation that this occupation is handed down to their children. Field workers from 'Tamate' took up this issue as a challenge and encouraged young people from the scavenger community to take up jobs other than scavenging. Many young people from this community are now in schools and are first generation children obtaining an education. Likewise other people from this community are involved in jobs such as driving auto rickshaws, weaving and selling baskets etc."

Research and Advocacy. Although research is a core component of the CMH&D program, the participants described it as the weakest component due to the lack of expertise, time, and resources required in conducting research. A BNI Trustee shared that over the years BNI has systematically collected data on numbers of persons identified with mental illness, numbers of persons referred for treatment, numbers of persons whose illness has stabilized following treatment, numbers of persons or their families who are integrated into community structures, and numbers of persons who have access to certain kind of government benefits. This data has been instrumental in capturing

'milestones or changes' in the individual and the larger community. For example, if a person has discontinued their treatment identifying the reasons for it, tracking those receiving treatment through follow up home visits, identifying cases where people are gainfully employed following treatment and understanding factors that have contributed to their success. A comprehensive report was compiled by Gururaghavendra, Jacob, and Muniraja (2011) focusing on the situation of the mentally ill in Southern India. Specific publications based on felt needs of the time have also been undertaken by BNI. For example, the study on carers came out of the realisation that the carer's role was seldom acknowledged in the program. BNI therefore, made attempts to bridge this gap by conducting a field study of carers. The findings of the study were useful in identifying various types and nature of caring including social caring.

What is currently lacking in BNI's research expertise is their ability to identify and use appropriate quantitative tools for measuring the effectiveness of their interventions. As a Trustee shared 'what we currently have is a crude understanding of changes that have occurred'. It was further shared by a BNI stakeholder that appropriate methods for documenting changes in affected persons with mental illness are not done. In the absence of such methods, claiming the effectiveness of CMH&D interventions becomes difficult. As one BNI stakeholder shared: "base line data were not collected prior to intervention so that it could have been compared to the after intervention data and seen whether there were any changes".

It was reported by some key participants that BNI has largely used case-studies for advocating their work with external organizations and funding bodies. While case studies have provided powerful evidence of successful interventions, it was felt that quantitative data which provides robust evidence of changes (improvements) that have occurred in individuals is essential for convincing funding agencies about the effectiveness of BNI's work. As part of their Fellowship Training Program, BNI has endeavoured to provide some research training to fellows and mentors for gathering relevant data from the field. For example, the training introduces them to the use of Rapid Appraisals which is a technique for understanding issues in a community rather quickly instead of using questionnaires which can be time consuming. The information thus gathered is useful for identifying pertinent issues in a community, for initiating discussion, and for encouraging involvement of the community in addressing these issues. Community mapping is yet another technique used by fellows to document the prevalence of mental illness in the community. These tools are useful not only for purposes of gathering data but also for engaging with the community. Although efforts have been made by BNI to collect data, findings have not been written in a manner that can be published in scholarly journals.

Advocacy is a critical component of CMH&D program. As discussed in the section on community mental health, advocacy remains a major focus of the work undertaken by partner organizations at various levels: community level, district level and the state level. Several misconceptions and superstitions surrounding mental illness continue to prevail necessitating continued efforts for raising awareness and advocating for mental health services. Partner organizations and Federations have effectively used the media including newspapers, radio, and television for this purpose. Articles on mental health have been written and published in leading magazines. Other efforts have included workshops for panchayat development officers, panchayat members and school development committee members. Commemorations of special days such as Mental Health Day and World Disability Day have helped in drawing attention of government officials and the general public to mental health issues. Partner organizations have participated in collecting data on the numbers of people affected by mental illness in their talukas. One partner organization (Samuha) shared that they conducted a survey to gather information on the prevalence of psychiatric symptoms among patients attending Primary Health Care Clinics in four districts. This data was useful in providing empirical evidence on the extent of mental illness in these communities. Members of Vivekanand Federation shared that they were successful in procuring a donation of five and a half acres of land from the government where a training center has now been constructed

with the help of community members. Vivekanand Federation also works closely with their local administration to prepare and implement Community Based Rehabilitation (CBR) plans.

A Fellow shared how he overcame the reluctance of his grampanchayat to extend 3% fund typically reserved for the disabled, to those with mental illness: "I used strong convincing skills to make them (grampanchayat) understand and accept. They could not understand why various government entitlements for the physically disabled should be extended to the mentally ill as they did not classify mental illness as a disability. So I quoted relevant laws which clearly states that the mentally ill are also disabled." Advocacy work was undertaken for the appointment of psychiatrists, obtaining designated hospital beds for the mentally ill, and subsequently a separate ward for the mentally ill at the district hospital. As a member of a partner organization shared "We are empowering the people so that they can advocate for their rights. So caregivers, persons with mental illness, Federations, and others from the community are all motivated and encouraged to do advocacy work".

Management and Administration. Management and administration component of the CMH&D program involves identifying and working closely with key community partners who share a common vision with BNI for promoting community mental health. What is evident from the data is that BNI's partnership development is largely informed by two criteria: organizations that are already working in the field of disability and are open to incorporating mental health development as part of their work; and organizations that have already built relationships in the community and are well versed in community rehabilitation work. CMH&D program is rooted in the community; therefore BNI considers the involvement of local community organizations as critical for the success of the program. This view is captured in the following statement made by a BNI Trustee:
The starting point for any activity must be in the community; to recognize the affected people and to make the community understand these people, and involve them in whatever small way they can. This means hearing their voices, collaboration, inclusion, and community ownership. It is a community owned process and the model placed its complete trust in the leadership of the affected persons. Consulting persons affected by mental illness is seen to be an important first step in community mental health development. Visits to various villages, talking to people affected with mental illness and their families, understanding why those suffering from mental illness are often subjected to inhumane treatment (e.g., being chained), and understanding carers' anxiety and supporting them are all important steps in the process. As one Trustee shared: "Not knowing how to deal with mental illness, lack of treatment facilities, lack of medicines, lack of doctors who had knowledge about mental illness, and rampant use of witchcraft for treating mental illness were the realities of that time."

According to a BNI stakeholder, CMH&D approach is particularly attractive to those partner organizations who are already involved in community rehabilitation work with people with physical disabilities. It is relatively easy for them to extend their work to people with mental illness as mental illness is legally classified as a 'disability' in India. BNI serves as a vital resource for providing the necessary training to field workers to enable them to work effectively with people suffering from mental illness.

By forging successful partnerships, it was reported by a BNI Trustee that BNI's CMH&D approach has over the years spread to other states in Southern India, and to Orissa, Maharashtra, Bihar and Jharkhand. Local community members have become active participants in identifying and supporting people with mental illness in their communities. Superstitious beliefs and stereotypes of mental illness are challenged, and people are becoming more aware that mental illness is treatable. Positive impact of BNI's partnership was shared by the Director of a partner organization when he said: "We received financial, technical and moral support from BNI. We appreciated the trust BNI reposed in us by not interfering in our daily work. BNI helped us realize that we have several strengths which we must harness."

FINDINGS AND RECOMMENDATIONS

Finding 1. The participants identified several indicators of success in promoting community mental health and development program. These include the following (1) there is increased awareness about mental illness in the community which was initiated through various ways such as street plays, songs, pamphlets, radio talks, publications in magazines, pamphlets which provide information about the signs and symptoms of mental illness and resources for treatment, and information workshops for community leaders, panchayat members, government officials, and teachers; (2) there is reduction in human rights violation such as chaining a person with mental illness, and there is increased acceptance of the mentally ill by their family members and the community; (3) there is reduction in superstitious beliefs and practices in treatment of mental illness, and instead there is an increase in numbers of people opting for medical treatment; (4) there is inclusion of persons with mental illness in Federations and panchayats as the Village Rehabilitation Workers and Fellows; (5) stabilized persons with mental illness are working as community volunteers and are motivating others to seek treatment, taking them to hospitals, supporting persons with mental illness and their carers through regular home visits and advocating on their behalf with key organizations to procure benefits such as subsidised housing, income generation and pension schemes; (6) stabilised persons with mental illness are now openly sharing their personal stories with others in their communities; and (7) self-help groups of mentally ill persons and their carers have been created for providing opportunities for people to share their experiences with others.

Finding 2. Several challenges in implementing CMH& D program were identified by the participants, including (1) Some Trustees shared that they are accountable to their donors, and therefore the objectives for which funding is given must be given priority. Likewise partner organizations also experience financial constraints. It was shared by a partner organization that they are often faced with the dilemma of having to use their resources to fund Psychiatric drugs when these are not available through the PHCs or the district hospital. Not all organizations are able to do this and therefore there is the danger that patients may then have to go without treatment; (2) stakeholders were divided in their views whether they should collaborate with government agencies in order to popularize the CMH&D approach. Some stakeholders felt that it was an opportune time to collaborate with the government. However some other stakeholders were sceptical about collaborating with government agencies as they were perceived to be “too removed from reality”; (3) it was also shared by a stakeholder that BNI should consider working with Village Health and Sanitation Committees (VHSCs) and Accredited Social Health Activists (ASHAs organizations) because their numbers were large and they already have a presence in the community. It was also suggested that BNI could develop a module on mental health which could be used for training ASHA staff; (4) it was also suggested that BNI should develop a vision for the next decade (i.e., long term) and plan accordingly. There was a suggestion that perhaps younger people with new innovative ideas should be inducted in to BNI’s Board of Trustees; (5) another concern shared was that BNI had not gathered adequate empirical evidence of the effectiveness of CMH&D approach. A Trustee shared that BNI’s prime focus thus far has been on providing services through their partner organizations rather than simultaneously gathering evidence for the effectiveness of their interventions, which has been a weakness. It was felt that greater involvement in the research process and building expertise was required. A shared view was that currently BNI lacked staff with expertise in conducting research; (6) another challenge identified by a BNI staff is the difficulty in developing training program modules that would be easy for field workers to grasp and understand. It was recognised that several field workers who receive training have minimum literacy and struggle to absorb medical information and use this judiciously in their work; and (8) a lack of focus of the mental health fellowship program/training was also shared by a stakeholder. For example it was indicated that there was a lack of clarity on areas such as: How mental health is defined within the program? What are the indicators of mental health? What mental health indicators should the

training program focus on? How will these indicators be evaluated? The lack of clarity on these key areas can make it difficult for field workers in promoting mental health in their communities.

Recommendations. Providing quantitative evidence of impact of CMH&D programs is a measurement challenge that needs to be addressed in order to demonstrate the efficacy of the model to research, policy and practitioner communities. It is interesting to note that while these gaps resonate with current scholarship in mental health promotion, our study specifies three specific recommendations that could potentially enhance the theoretical robustness of the CMH&D Model, as well as promote its program effectiveness.

Recommendation 1: *Include Wellbeing as an Outcome Variable in the CMH&D Model*
A significant challenge facing BNI according to respondents of this study is the inadequacy of evidence presented to funders and other stakeholders of the impact of the CMH&D program. While funding agencies and policy makers seek 'quality evidence' evidence to justify resource allocation and added value to the community, researchers investigate for evidence of improved wellbeing of individuals, families and communities (Barry, 2009). A part of the difficulty may lie in the conceptual model used to depict the mission and implement the programs of BNI (see Figure 1). It is interesting to note that Figure 1 does not spell out explicitly an outcome variable for the CMH&D model. While 'research' is included as one of the five components of the CMH&D approach, the research activity has primarily focused on tracking numbers of persons identified with mental illness, numbers referred for treatment, those stabilized following treatment, numbers of persons or their families who are integrated into community structures etc. Reports emanating from this data base (e.g., annual impact reports) have provided useful programmatic information. However, such reports can be further bolstered by providing 'quality evidence' of impact. BNI may want to consider representing in the CMH&D model the final outcome variable of all its endeavours--the wellbeing of individuals, families and communities. The inclusion of an outcome variable to the original model may facilitate better measurement of the impact of CMH&D programs. We present below a revised CMH&D model that incorporates wellbeing as an outcome variable (see Figure 2).
The title of the revised model captures the raison d'être for all the multi-pronged CMH&D interventions--improved wellbeing of individuals, families and communities. The top blue arrow represents all the interventions that are part of the ongoing CMH&D programs. The bottom orange feedback arrow represents quality evidence of the impact of the program. The inclusion of wellbeing as an outcome variable in the model (i.e., Figure 2) is likely facilitate the translation of 'quality evidence into effective practice and effective practice into research so that currently undocumented evidence can make its way into published literature' (Barry, 2009). However, generating quality evidence of the impact is likely to require the use of quantitative measures of wellbeing, rigorous research methods, longitudinal research design, and external research funding working in collaboration with BNI to carry out such complex research.

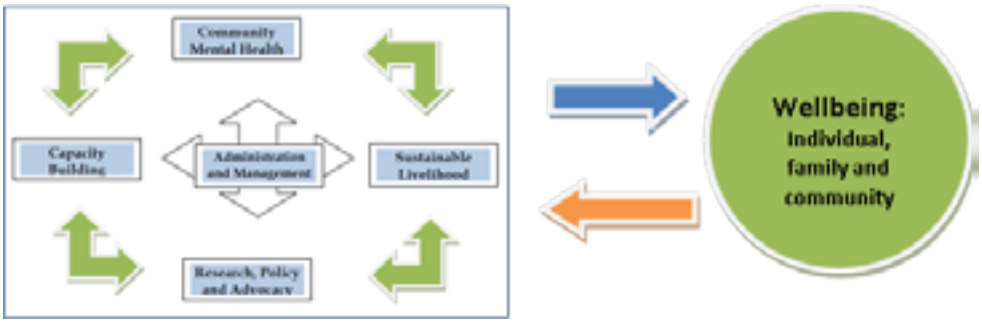

Figure 2: Wellbeing Driven Model of Community Mental Health Development

Recommendation 2. Field-Test Wellbeing Driven Model of Community Mental Health Development
A common theme that came through the interviews of BNI stakeholders was the need to generate robust quantitative evidence of the impact of CMH&D approach. What is lacking in addition to the resources for undertaking such research is the research expertise required to employ complex research designs to generate 'quality evidence' that demonstrate the effectiveness of interventions. As one BNI stakeholder shared: "base line data were not collected prior to intervention so that it could have been compared to the after intervention data and seen whether there were any changes". In the absence of pre and post quantitative data on outcomes (see Figure 2), it is difficult for BNI to convince stakeholders of the effectiveness of CMH&D interventions. We present below in some detail components of a longitudinal study conducted in Kenya to gather quality evidence of the impact of CMH&D approach.

A recent quantitative study of the CMH&D program carried out in rural Kenya provides an example of quantitative research that adds to evidence base (Lund, Waruguru, Kingori, Kippen-Wood, Breuer, Mannarath, & Raja, 2013). Lund et al (2013) gathered evidence of impact of CMH&D program interventions by tracking outcomes for participants (n=203) over a 2-year period. Data was collected on several quantitative measures including economic outcomes of mental health development model (Raja, Kippen, Janardhana, Prassanna, Deepika, Balaraj,Chandrashekar, & Hanumantharayudu, 2008). Lund et al., (2013) provided evidence of impact of CMH&D program interventions on mental health, quality of life, social functioning and economic activity for participants in the study.

Recommendation 3: Develop Additional Training Modules for Capacity Building

It is clear from the qualitative data analysis that not all components of the CMH&D approach (i.e., community mental health, capacity building, sustainable livelihood, research, policy, and advocacy and administration and management) contribute equally for creating impact. For example, capacity building came through as a strong component of the CMH&D program in the field, without which some of the other components may not be 'energized'. In other words, without a strong capacity building component, other components of the program are not likely to reach 'critical mass' to create impact. The qualitative data indicates that the Fellowship Program designed and executed by BNI has been well received by stakeholders (partner organizations, Federations, fellows and mentors). The stakeholders were near unanimous in their view that without the ongoing support (e.g., refresher training) from BNI to partner organizations, there is the danger that the productive work carried out by fellows and mentors in promoting capacity building may cease to exist. Feedback from field-level workers sought continued training input in the following areas:
Professional use of self: In working in the field of mental health, workers must at all times be aware of their own self, their values and beliefs, and how these influence their work with people with mental illness. BNI's training program can include development of knowledge in the professional use of self. This term is often associated with self-knowledge and self-awareness in practice (Trevithick, 2012).

(a) Skills in motivational interviewing and interventions: This method of interviewing is useful in facilitating intrinsic motivation within the client/family in order to help them change their behaviors. This person-centered approach helps the client and/or carer explore factors that may impede their motivation in seeking treatment for mental illness and helping them in addressing these.

(b) Training in helping skills for field workers: Field workers are at the fore front in the provision of community mental health services. Hence equipping them with essential helping skills is imperative for the success of their work. These helping skills include: explaining their role and purpose, asking appropriate questions (closed-ended and open-ended questions), active listening, displaying empathy, genuineness and warmth, sustaining client/carer motivation, maintaining progress towards change, understanding client emotions and feelings, and responding to defensive communication (e.g., denial, blaming, avoidance, helplessness).

(c) Skills in negotiation and mediation: Field workers work across the micro (person with mental illness and their carer's), meso (community members) and macro (members of the panchayat and other government officials) continuum. Working across this continuum can be challenging if workers are not adequately equipped with negotiation and mediation skills. Often this work requires challenging dominant perceptions, beliefs, and stereo-types about mental illness in a constructive manner which can be difficult if workers lack negotiation and mediation skills.

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Understanding Music Consumption Behavior and Industry Competition in the Music Market of China

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ABSTRACT

In this paper we review the current status of the streaming music market in China. Our research aims to understand: 1) the music consumption, discovery and payment behaviors of Chinese music consumers; and 2) the implications of those user behaviors on industry competition and the evolution of the industry structure. Our empirical data collection combined a variety of research methods including large-scale survey (over 1000 subjects), interpersonal interviews and industry analysis. Our findings at micro level allow us to derive insights and implications for industry competition and industry structure at macro level. Our findings also have practical implications for music streaming platforms, content providers and music startups in terms of enhancing the efficiency and sustainability of their operations.

Keywords: Music streaming; China; consumer behaviour; music consumption; music discovery; music payment

OVERVIEW: RESEARCH FOCUS AND QUESTIONS

The U.S. is the world's largest music market, worth an estimated $6.6 billion (RIAA, 2019). In contrast, the Chinese music market, which has the largest customer base in the world - over 300 million - only generated a revenue of $860 million in 2015. However, the revenue of the Chinese music market is growing at about 6% a year and reached an annual revenue of $1 billion in 2018 (iResearch, 2019).

In China's music market, the majority of sales are from digital music, which is consistent with trends in the US as in 2015 streaming became the single largest source of music industry revenue in the US (Friedlander, 2016). Across the world, streaming has increasingly become the dominant channel for digital music consumption (IFPI, 2019). While ad-based streaming attracts more users, it is the subscription-based streaming that generates the majority of the revenue. In fact, several major online platforms in the US (e.g. Spotify) and China have offered ad-based streaming for free to attract customers, and then monetised the consumer base by providing premium services to a small portion of subscribers (i.e. a freemium model). Given the increased penetration of smart phones and enforcement of copyright laws by the government, music streaming is playing a central role in the Chinese music market as it brings the most revenue and also connects the online and offline markets (e.g. concerts) (iResearch, 2018). Recognizing the potential of the Chinese music market (especially in the area of digital music), big players (BAT and NetEase) have aggressively moved into this sector and established major music streaming platforms. Those platforms keep securing copyrights and consolidating the market powers (Deloitte, 2019). For instance, Tencent recently acquired Kugou and Kuwo - the top two music apps in China. Combined with QQ Music, Tencent is now the dominant player ('Tencent Music') (Citi GPS, 2018). Conversely, Alibaba has amalgamated Xiami and Tiantian into "Ali Music". It launched Planet in 2016, a Craigslist-type music platform that connects musicians and consumers, with streaming and merchandising. The other two dominant players are Baidu and Netease. The Industry Structure in China is illustrated in Figure 1 below.

[Figure 1 here]

The rise of music streaming in China raises some fundamental questions: How will the Chinese music market evolve in the coming years? What can we learn from consumer behavior that would

help us understand how the music industry in China will change? How should firms operating within China's music market embrace such changes and identify new business opportunities? Through our industry analysis of the US music market, we identify two important trends: Online music streaming is increasing exponentially while other sources of revenue are decreasing (BuzzAngle Music, 2019); and offline performance still serves as a major revenue source from US music industry (e.g. live concert) (Nielsen, 2018). Given these important trends, combined with the lack of understanding of how and to what extent these trends are replicated in other international markets (such as China), we have chosen to focus on user behaviors in online music streaming in our study of the music market in China. We want to use music streaming as a pivot point to understand the dynamics of the industry: on one hand, online music streaming globally is by itself already highly significant, with recent industry projections indicating that the music streaming market will grow to be worth more than 18 billion US dollars in 2020 (PWC, 2019). On the other hand, it may also connect online and offline consumption and drive more users to live concerts. Based on these considerations, our research focus in china music industry will be on end-consumer behaviors vis-à-vis music streaming. Specifically, we aim to understand:

1) What are the consumption, discovery and payment behaviors of Chinese music users towards China's online music streaming services; and
2) What are the implications of those customer behaviors to industry competition and industry structure within the Chinese music market.

While many expect the music market in China to experience phenomenon growth in the next ten years similar to the Chinese movie industry, little research has been conducted in this field to fully comprehend the consumer behaviors and corresponding business opportunities in order to provide pragmatic suggestions to the music platforms and content providers. For instance, based on current literature and industry knowledge (Bapna & Umyarov, 2015; PWC, 2015), it is unclear how consumers make decisions when consuming the digital product of music (variety of consumption, context of consumption, device used in consumption, 'free' vs. 'paid' decision, loyalty to streaming apps,) (Baldivia, 2016). Furthermore, we have observed how little is known about their

implications on the evolution of industry structure (Yin & Zheng, 2015), which is surprising given the high-growth and fast-moving nature of how the digital music sector is evolving within global markets. Developing a more nuanced and coherent understanding of various aspects of consumer behaviours towards Chinese music streaming services will not only have strong practitioner implications for these streaming platforms and their associated stakeholders, but for the broader music industry and related creative and cultural industries at the international level.

RESEARCH METHOD

We adopt between-method triangulation (Paul, 1996) to combine and integrate three research methods: Large-scale survey, interpersonal interviews and industry analysis. These research methods complement each other and offer validity and additional insights (Morse, 1991).

Survey Method

We designed a detailed survey questionnaire on the various aspects of online music consumption, discovery and payment behavior (see Appendix A for the full list of survey questions). The design process is not one-way. We had initial discussions with the users of music streaming apps as well as executives at the industry (e.g. NetEase), as we understand the need for the customer as well as industry frontiers for music streaming. From there we designed the pilot survey and collected an initial set of feedback. Based the feedback, we performed preliminary analysis and further adjusted our survey questions. The final survey is an outcome of several rounds of pilots and iterations. Our survey instrument included 12 questions on music consumption behavior, 5 questions on music discovery behavior, 10 questions on music payment behavior and 5 questions on demographics. Taken into consideration the numerous sub-questions and answer options, the total number of data points for this survey was 165. The iteration process is described in Appendix B.

We recruited our main survey respondents from over 7 major universities in China, including Nanjing Audit University, Fudan University and Nanjing University. All subjects were undergraduates and graduates at those universities. Based on the consumer and industry interviews (see below), this demographic of respondents were determined to be the most active users for online music streaming platforms and may contribute the most to revenue generation in the streaming music sector. We

implemented the survey in two rounds: the first round in Fall 2017 and the second round in Early 2018. In total, we have collected over 1000 responses to our survey. Those responses are from a representative body of consumers in the music streaming sector in China. We carefully coded the survey responses and performed a series of in-depth analyses and robustness checks.

Interpersonal Interviews

We also conducted in-depth interviews with active users of online music streaming services in China and senior executives at various leading music streaming services in China, such as NetEase Music. We prepared a detailed script for our interviews with a list of key questions for every customer or manager (the script is available upon request). Those interviews helped us to determine the research focus and polish the survey questions.

Industry analysis

We also collected detailed information from public industry reports and news on the Chinese music industry (e.g. major stakeholders and industry trends) to complement the survey analysis and interpersonal interviews. The industry analysis also confirmed the insights from our survey analysis and helped us to better illustrate the discussions on managerial implications.

FINDINGS ON CUSTOMERS' MUSIC CONSUMPTION BEHAVIOR

Here we focus on presenting a succinct summary of six key findings on music consumption behaviour; more findings and their complete presentation are available in the full analysis.

Music Consumption Finding 1: Number of Songs Listened

Based on the survey results, we find that the majority of consumers in our sample would on average listen to 1-20 songs *per day*, while a small portion of them listen to more than 20 songs.

Music Consumption Finding 2: Amount of Time Spent

Consistent with the above finding, we find that the majority of users would on average spend 11-30 minutes listening to music every day, while a relative small portion of them would listen to more than 30 minutes (about 20%).

Music Consumption Finding 3: Ways of Organising Music

In traditional context (e.g. physical albums), customers listen to songs through the organisation of

singers, genres and song/album name; this is still the trend in the digital music sector. However, two new ways of organising music are emerging: 'music list' and 'in-app random recommendation'. Music list is by far the most popular way of consuming music for all of the consumers. Even in-app recommendation is on par with other traditional ways. Through the interviews with users and industry executives at NetEase, we also found that this is increasingly the trend when customers consume music online. They are increasingly willing to delegate the organisation/source of songs to the digital platform (in-app recommendation) or to other users (music list).

Music Consumption Finding 4: Genre/Type of Songs

Customers consume a wide range of music genres, including pop music, classical, punk/rock and rap. Even though pop music remains the dominant genre, other types of songs have also received a significant amount of attention. Customers' consumption across different music genres are wide spread.

Music Consumption Finding 5: Context of Music Consumption

The context in which the customers listen to music is a very important aspect of music consumption behavior. Interestingly, a lot of respondents listen to music when commuting (67.9%) and during their study or work (69.4%). Only a relatively small proportion of consumers reported that they concentrate on consuming the music (26.2%). The context of music consumption has important implications for businesses. For instance, consuming music during commute indicates that customers are increasingly relying on mobile devices for music consumption (which is consistent with our next finding). Also, a significant portion of survey respondents consuming music during study or work implies that audio ads may be annoying to many customers. The adoption of advertisement-based freemium model might reduce the music consumption of many customers, and lead a portion of others to pay for the premium membership to avoid ads.

Music Consumption Finding 6: Device used for music consumption

Mobile has become a dominant device for music consumption. However, people are still using multiple devices (PC and tablets) for music consumption. The majority actually use both PC and Mobile at the same time. Such finding has implications for firms when designing mobile-related advertisement or cross-channel experiences for music consumption.

INSIGHTS ON CONSUMER MUSIC PAYMENT AND DISCOVERY BEHAVIOR, AND ITS IMPLICATION TO INDUSTRY COMPETITION

The above findings on users' music consumption behavior are relevant to music streaming platforms and may help them design more integrated product experiences and marketing strategies. We now address our question of what insights we can derive about industry competition and about how the Chinese music industry will evolve in future. For this, we now focus on presenting and discussing four major insights related to industry competition. We have derived these four insights at the macro level from consumer behavior at the micro level.

Insight 1: There is a fierce competition on users and IP between major music streaming platforms and the competition is originating customers' (undifferentiated) need for more music content.

The above insights were derived from a series of findings from our survey. The logic is as follows: First, quite surprisingly, more than 58% of the respondents regularly use more than one music streaming app. Such a multi-homing trend suggests that consumers do not necessary stay with one music streaming channel in music consumption. They can quickly switch between different music apps as the content migrates and as the access changes.

Second, based on our survey, we observe that the major streaming players are NetEase and Tencent music. These two music streaming services are finitely top 2 in China and the trend is consistent with the results from our industry analysis. However, our sample is concentrated in college students, among whom NetEase is more popular, thus potentially leading to bias. According to our industry analysis, in other target audience groups, Tencent music might be more popular. Even the two dominant music streaming platforms in China – NetEase and Tencent – do not have monopoly power on their users (Tang & Lyons, 2016). This is very different from some other industries where the platform may enjoy a strong monopoly power (e.g. WeChat or Facebook in the social media sector) as consumers usually only engage in single-homing (Aguiar & Waldfogel, 2018). Thus, from the perspective of content providers (e.g. records companies), they may enjoy a strong advantage when negotiating IP rights with two different platforms, as they represent two channels through which they can negotiate for

both exclusivity and pricing. The music streaming platform would always need to consider the other channel as a competitive force in the negotiation process.

Third, regarding the reasons why consumers are using more than one app for music, our survey results demonstrate how this is predominantly to tap into a broader range of music resources. Interestingly, we observe how consumers are less influenced by other functions that a streaming app may provide, such as playlist, sound quality and social functions.

The answers to the above questions are extremely important. If the customers are using the two apps for different purposes: for instance, using NetEase for social and using Tencent for content variety, then the competition between the two music streaming apps is differentiated – it is not head-to-head competition. Content has a strong bargaining power in current industry structure. With the survey results, we performed additional industry research to augment the insights on industry competition. Since consumers tend to use multiple streaming platforms and they use each app mainly for more content (IP), it is not surprising that all major music industry platforms are competing fiercely for music content (Datta, Knox, & Bronnenberg, 2017). If any music platform wishes to acquire a large user base and attract consumers to remain committed to using the app, it must have enough content and ideally exclusive access to the content. Our findings reveal how most of the major music platforms are collaborating with record companies and some are even building their own. For instance, Alibaba have cooperated with major record companies, while Baidu Music have merged with Taihe Rye Music.

Regarding whether such competition for content is sustainable, as discussed earlier, content providers are well positioned when negotiating contracts and pricing for IP rights. Potentially they can keep increasing the price when negotiating with competing platforms.

Insight 2: The customers in the Chinese music market are not willing to pay in general, and definitely not willing to pay enough to cover the cost of the IP. Thus, the competition for content/IP among major music streaming platforms may not be sustainable.

Understanding whether a song may bring enough revenue for Tencent or NetEase to justify the cost for its copyright is highly crucial. If any of the platforms can accrue enough revenue from its user base, then it can heavily invest in (exclusive) access to music IP through long-term IP leasing

arrangements with records companies, whilst excluding all other competitors. However, such a scenario is only possible when all the users on a platform have enough willingness to pay and can fully compensate the cost for music IP. Only then can music platforms like Tencent and NetEase have the power to buy out the market (Aguiar & Martens, 2016). However, through a series of survey questions over a large sample of representative users, we have found how this is not invariably the case. The consumers in the Chinese music market seem less interested in paying for music, and certainly not interested enough to cover the cost of the IP. We present five findings as follows to support this insight.

First, less than half (about 47%) have ever paid for music in their lives. This percentage is surprisingly low, especially considering the fact that the survey respondents on average are already more active than the population and have a higher willingness to pay for music. When they do pay for music, our findings reveal that music streaming apps denote the dominant purpose of payment. Second, among all of the users of music streaming services, only 16% have ever paid for platform membership. 29% of respondents occasionally buy one or a few songs, while over half only use the music app for free music. Paid membership is ostensibly the major source of revenue for music streaming platforms, yet the current willingness to pay by Chinese consumers seems still very low. Third, the other major source of music revenue - offline concerts - is not performing any better in terms of generating revenue. Less than 27% of the subjects in our survey have ever paid to attend a music concert in the past year. Fourth, only 34% of the survey respondents have ever paid for their favorite singers *in any format*, including the singers' merchandise, ranking chart, CD, etc. Finally, even those who pay, only pay a little for music. Our findings demonstrate how most consumers (56%) are only willing to pay less than 1.99 RMB for one song. Most consumers who are willing to pay for music streaming membership are only willing to pay less than 10 RMB per month for the membership.

In terms of the rationale behind consumer willingness to pay, most of the users are, again, only paying because of their desire to secure access to more expansive content (e.g., new songs, more songs, or to download songs). This is as opposed to other add-on value or premium services such as supporting the singers or improving the sound quality.

In answer to our questions of whether the competition for more content among major music platforms is sustainable, and whether Chinese music consumers exhibit enough willingness to pay for

a son, from current responses in the survey the answer appears to be negative. Accordingly, a single platform may not be able to afford to purchase most of the copyright to sustain their operations.

In summary, because of limited payment from consumers, copyright competition between music platforms will incur a huge cost and may not be sustainable. A single platform cannot earn enough revenue to support the cost for exclusive access for most copyrights. Moreover, given dispersed industry structure (multi-homing), record companies have a strong position in the negotiation process. Thus, they can still keep increasing the price for IP. The music copyrights are still less expensive in China but the price may keep increasing to global levels (Dong & Jayakar, 2013). As consumer willingness to pay ever increases (at a slow pace), content providers can further increase the price in the negotiation process with major music streaming platforms. In the foreseeable future, the content providers can still leverage the competition between the platforms and raise the price continuously to obtain the additional margin. Moreover, copyright authorization has a licensing period. Even the monopoly rights by Tencent or NetEase on certain kinds of music IP can be temporal and only last for 3-5 years.

The above conjecture is also aligned with several findings from our industry analysis. For instance, a recent statement by a major opinion leader in the Chinese music and entertainment industry and the Senior Executive at Alibaba Entertainment (Gao Xiaosong) coincides with our discussions above. Also, our findings and discussions are also confirmed in our interviews with the industry executives at a top two music streaming platforms in China.

Our insights from survey and industry analysis also provide explanations for the current market structure in China at the macro level. On account of the high cost for content, Tencent dominates music copyrights but still has to sub-license a large portion of them to its competitors such as NetEase. This is a very interesting co-opetition scenario: on one hand, Tencent want to dominate the streaming market and attract or retain the users with more music IP. By only accruing revenue from music consumption of all users on its own platform, Tencent cannot break even and cover all of the cost of the IP. Therefore, they have to rely on their competitors to compensate for some of the revenue. And our survey results provide a series of evidence and implications that such routes will continue in the short to medium term.

Insight 3: Consumers discover little new: they are still listening to the same (old) singers and songs. Hence, it is very challenging for new singers and music to emerge. Head content may enjoy a

significant margin in the value chain and have a unique advantage in the negotiation process with music streaming platforms.

We now address our question of whether there are any other alternative routes for the industry to move forward, and whether the independent musician epitomises new hope (an alternative but viable route) for music streaming platforms. Supporting independent musicians has become a common practice by many Chinese music streaming platforms (e.g. Alibaba) with the hope that such long-term strategy would cultivate new singer/content and save more for the platform in the long run. However, such a strategy would only prove effective if customers were actively discovering new singers and songs on a regular basis. From our survey results on music discovery behaviour, we have observed how consumers still listen to the same set of singers that they have become familiarised with over time and do not discover new singers very often. Resultingly, it might be very difficult for new independent musicians to emerge.

We also observed the same trend for discovery behavior towards new songs. Consistent with the above trend, we can see how consumers do not discover new songs often. Most only discover less than 5 songs in a month. Overall, the consumers seem not to have enough drive to actively search for new music. Based on the above findings, it seems that head content – the content at the top of music consumption distribution – will be in a very good position in the value chain and in the negotiation process in the long run. In contrast, music streaming platforms do not appear to enjoy a strong bargaining power over those content due to competition pressure.

Insight 4: There are two potential strategies that music streaming platforms can use to address these challenges: differentiating themselves more with unique functions (e.g. social media) and integrating more with upstream content providers.

Our findings from both the survey and industry analysis reveal two potential strategies for music streaming platforms to address the above challenges: The first strategy is to differentiate. Differentiation is a crucial way to avoid the head-to-head competition for music IP (Uli, 2018). Instead of merely focusing on providing music content, music streaming platforms in China could further develop themselves and provide other key functions in addition to music content. For instance, some

music streaming platforms could position themselves as a social network for music discovery and communication. We observe some hope from the data on such types of positioning. We also see how, in more than 45% of the scenarios, the consumers may discover music in social channels such as direct recommendations from friends or social media mentions in WeChat or Weibo. Similarly, our findings in relation to new song discovery reveal the trend that most consumers discover songs from friends' recommendation, social shares on the platform as well as mentions in WeChat and Weibo.

The above findings suggest that social functions are playing a more and more important role in music discovery and consumption. As a result, music streaming platforms may leverage 'social' as a major way to engage with users and encourage music consumption and discovery. If a music streaming platform can better internalise the social function into the app – e.g., building a social network or more interaction function within the platform, then they may differentiate from the competing music apps and better accommodate the social need of consumers. Consequently, they may acquire and retain users through innovative functions and aspects other than music IP. In our industry analysis and interviews, we found that NetEase is attempting to heavily invest in the 'social' function of the app to differentiate itself from Tencent Music.

The other strategy for music streaming platforms is to move up the value chain and integrate more with the content providers. Instead of simply acquiring the users and serving as a channel for music content, the streaming platforms could adopt a whole value chain strategy. They can merge with upstream content providers or even cultivate their own singers and content. Alibaba, Baizhu, NetEase and Tencent are all adopting such strategies in various capacities.

SUMMARY

The Chinese music market is at a transitional point: the user base is large, but few of them are paying for music (IFPI, 2019). The industry competition for music IP is fierce, but such competition is not sustainable. In this paper, we combined a variety of research methods including large-scale survey, interpersonal interviews and industry analysis to understand the customer behavior in the Chinese music market, with a specific focus on online music streaming. Based on the analysis on the large-scale survey, we have provided novel insights about customers' music consumption, discovery and payment behavior in the Chinese music market. Most of these findings cover new research ground and therefore make a

significant contribution to advancing knowledge in this important field. We further move beyond the empirical phenomenon and derive several major insights regarding industry competition and the evolution of the industry structure in the Chinese music market. Finally, we offer practical and pragmatic suggestions for music streaming platforms and for content providers in order for them to develop their operations to become more efficient, economically successful and sustainable for the future.

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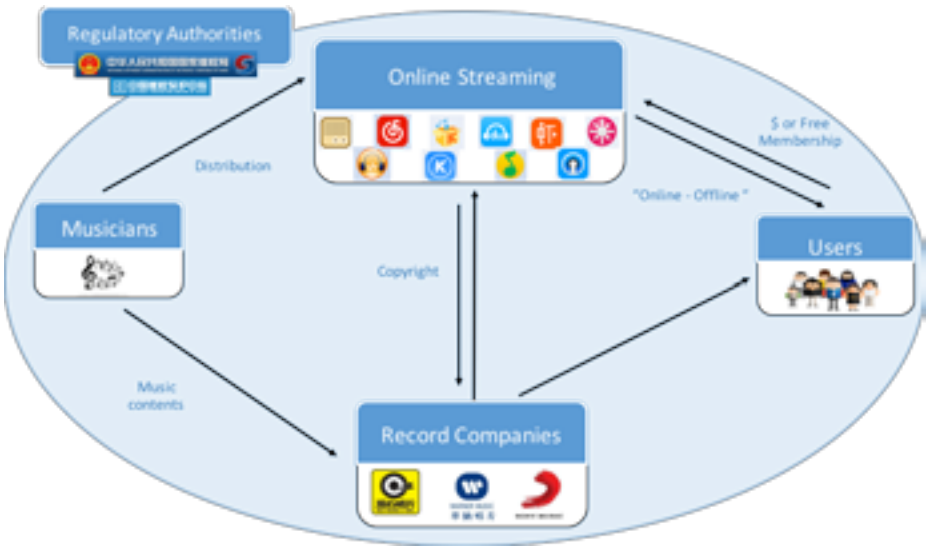

Figure 1: Industry Structure of the Chinese Music Market

Appendix A: A Comprehensive Survey on Music Consumption, Music Discovery and Music Spending Behavior of Users in Chinese Music Market

Note:

1. Chinese version of the finalized survey is available on www.wjx.cn
2. The full results for every question in the survey are also available.

Survey Questions

I. Music Behavior Questions

1. On average, how many songs do you listen to every day?

a. zero

b. 1-5 songs

c. 5-20 songs

d. >20 songs

2. Do you prefer to listen to songs according to which of the following classified method? （There may be more than one correct answer）

a. Find songs according to singers

b. Find songs according to song list

c. Find songs according to genre

d. Find songs according to random played by the music app

e. Find songs according to songs' names

3. How many genres do you listen to every day? _____. Please circle them. （There may be more than one correct answer）

a. Pop

b. Rock /Punk

c. Hip Hop

d. Rap

e. Jazz

f. Classic

g. Other: please specify _____

4. Which language of songs do you listen to most often?

a. Mandarin

b. Cantonese

c. English

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d. Japanese
e. Korean
f. Other ( )

5. On average, how long do you spend on listening to music everyday?
a. 0～10min
b. 11～30min
c. 31～60min
d. 61～120min
e. 2～4h
f. more than 4 h

6. What else do you usually do when you are listening to music? (There may be more than one correct answer)
a. Nothing else, just listening to music
b. Study/ Work
c. Commute
d. Exercise
e. Sleep
f. Shop online
g. Play games
h. Eat food
i. Party

7. How many music apps have you installed on your phone?
a. 0
b. 1
c. 2
d. 3
e. more than 3

8. If you have installed a music app, which app do you use most often?
a. Kugou
b. Kuwo
c. NetEase Cloud
d. XiaMi

e. YinYueTai
f. Baidu Music
g. QQ Music
h. Others

9. In addition to the app you have chosen from the last question, which app did you use most frequently in the past?
a. Kugou
b. Kuwo
c. NetEase Cloud
d. XiaMi
e. YinYueTai
f. Baidu Music
g. QQ Music
h. Others

10. If you have installed more than 1 music app, why?
a. For more songs resources
b. For better song list
c. For better acoustic quality
d. For more music videos
e. For better networking functions
f. For more online activities

11. I have installed the music app on
a. Only my phone
b. Only on my PC
c. Both my phone and PC
d. Both my phone and tablet
e. Phone, PC and tablet
f. I haven't installed any music app yet

12. On average, I use the music app that I use most frequently
a. Everyday, more than one hour per day
b. Everyday, less than one hour per day
c. A few times per week, but not everyday
d. A few times per month
e. A few times per year

II. Music Discovery Questions

1. On average, how many NEW singers do you discover/listen to each month? （Discover a new singer: by saving or searching her/his songs, watching her/his concerts, paying attention to her news, etc.）

a. Usually I do not discover new artists frequently
b. 1-5 singers
c. 5-10 singers
d. >10 singers

2. On average, how many NEW songs do you discover/listen to each month? （Discover new songs: by saving new song you have saved or repeatedly listening to new songs）

a. Usually I do not discover new songs frequently
b. 1-5 songs
c. 5-20 songs
d. 20-50 songs
e. >50 songs

3. How do you discover a new song? (There may be more than one correct answer)

a. It is recommended by my friends directly
b. It is shared by my friend through SNS platform
c. It is on the top list of the music APP ranking
d. It is mentioned in Weibo or WeChat articles
e. It is heard on the radio
f. It is heard on TV show
g. It is heard on the online media (Youku)
h. It is insert songs of movie or TV series
i. It is recommended by music apps
j. I discovered it by using music app's identification function

4. I am more likely listen to a new singer if

a. It is recommended by my friends
b. It is on the top list of the music APP ranking
c. It is mentioned in Weibo or WeChat
d. It is heard on the radio
e. It is heard on TV show
f. It is heard on the online media (e.g. Youku)

5. I am more likely listen to a new genre of songs if (There may be more than one correct answer)

a. It is recommended by my friends
b. It is on the top list of the music APP ranking
c. It is mentioned in Webo or WeChat
d. It is heard on the radio
e. It is heard on TV show
f. It is heard on the online media (e.g. Youku)

III. Music Payment Questions

1. In the last six months, I have paid for the following type of music related consumptions

a. I didn't pay for anything
b. CD
c. Music App membership
d. Concert tickets
e. Singer-related merchandises
f. Make a move to reinforce my favorite singer
g. Hit the charts for my favorite singer

2. Do you have friends who are paying for music app membership?

a. None
b. I have a few friends of mine pay for that
c. I have some friends of mine pay for that
d. I have many friends of mine pay for that
e. Nearly all of my friends pay for that

3. When I use music apps, I

a. Listen to music for free
b. Listen to music for free for most of the time, sometimes pay for the single song
c. I listen to music by paying for monthly membership
d. Don't use music apps

4. (Nested under 3, if b or c) Why do you pay for music apps?

a. Listen to more songs

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b. Listen to the latest songs
c. Download songs
d. For better acoustic effects
e. To hit the charts for my favorite singers

5. (Nested under 3, if b or c) On average, how much do you spend on music apps per month?
a. 1-10RMB
b. 11-50RMB
c. 51-100RMB
d. above 100RMB

6. (Nested under 3, if a or d) If needed, what is the highest price that you are willing to pay for a piece of music?
a. Less than 1 yuan
b. 1 – 1.99 yuan
c. 2 – 2.99 yuan
d. 3 – 3.99 yuan
e. 4 – 4.99 yuan
f. 5 yuan and more

7. (If you haven't paid for a monthly music app membership to listen to music) What is the highest price that you are willing to pay per month for the unlimited streaming on your APP?
a. Less than 10 yuan
b. 11 – 50 yuan
c. 51 – 100 yuan
d. above 100 yuan

8. I have attended_____last year.
a. Zero live concert
b. 1 live concert
c. 2 live concerts
d. 3 live concerts
e. 4 live concerts
f. 5 or more live concerts

9. (Nested under 13) On average, I am willing to spend _____to attend one live concert

a. Zero Yuan
b. more than 1 yuan but less than 150 yuan
c. more than 151 yuan but less than 500 yuan
d. more than 501 yuan but less than 1000 yuan
e. more than 1001 yuan but less than 5000 yuan
f. more than 5000 yuan

10. In the last six months, I have spent_____on merchandises related to my favorite singers/bands (for example, T-shirts and souvenirs).

a. Zero Yuan
b. More than 1 yuan but less than 10 yuan
c. more than 11Yuan but less than 100 yuan
d. more than 101yuan but less than 1000 yuan
e. more than 1001 yuan but less than 10000 yuan
f. more than 10000 yuan

IV. Demographic Questions

1. What is your NetEase Cloud Music's username? After we acquire all the questionnaires, we will randomly choose 50% of the respondents to distribute memberships to them through the accounts. If you win the opportunity, you will receive the membership in two weeks. If you don't have a NetEase Cloud Music's account, please leave your email and we will send the paid membership code to you through the email.

2. I am
a. Male
b. Female

3. Where is your hometown?_____(Province, City and County)
4. Where do your live now?_____(Province, City and County)

5.1 What is your University? What is your major in the university? (For College Student Survey)
5.2 What is your grade?

Appendix B: Detailed Description on the Iteration Process for Survey Method

1. Designed a detailed survey questionnaire (after several iterations) with a rich series of questions on music consumption, music discovery and music payment behavior. Most of the questions were either inspired by previous literature or based on detailed interviews with active users or executives of the major music streaming services in China.
2. Implemented the pilot study across multiple classes in a major University in China.
3. Analysed the results from the pilot study and summarised the findings.
4. Collected feedback from industry contacts about the survey questions (e.g. NetEase) and pilot results.
5. Further refined the survey questions based on initial analysis and industry feedback.
6. Refined the survey.
7. Implemented the final survey.

The survey results capture a rich amount of other information on music consumption behavior, including context of music consumption (study or commute), genre (pop & classic), language (mandarin and English) and categorization of songs (by singer and list), as well as music discovery and payment behavior.

Stream Eight: Management Education Learning and Teaching
Interactive Session

Peer Review of Blended Teaching: The reviewer's perspective

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ABSTRACT: *Peer Review of Teaching can be a useful tool in the development of academic teaching and learning within the management discipline. This research paper reports on key areas of importance from the reviewer's perspective within the Peer Review of Blended Teaching (PRoBT). The research revealed that reviewers found their participation in PRoBT to be a positive experience, that participation in PRoBT was a learning experience for developing the reviewer's own teaching, and that reviewers have valuable input into the nature of the framework that guides the PRoBT process. Acknowledging and incorporating the reviewer's perspective in the design and application PRoBT contributes to the literature in the field, and may improve the acceptance and applicability of PRoBT in the tertiary environment.*

Keywords: peer review of teaching, peer review of blended teaching, blended teaching, academic development, improving student learning, reviewer perspective

This paper reports on findings from a research project that explored Peer Review of Blended Teaching (PRoBT) within a Business School of a regional university. The focus here is on exploring key topics within PRoBT from the reviewer's perspective. That is, the perspective of the academic undertaking, reviewing and providing feedback within the peer review process in the blended teaching environment. Peer Review of Teaching (PRoT) has been defined as "academic colleagues giving and receiving feedback on their teaching" (Harris, Farrell, Bell, Devlin, & James, 2008, p. 5), and generally has a focus on, and at times an assumption of, face-to-face teaching in the tertiary environment. PRoBT in contrast focuses on the blended teaching environment, which has been defined as "any environment on a continuum between online learning and face-to-face learning that incorporates elements of both" (McKenzie and Parker, 2011, p.3).

The focus of this paper is to report on key topics regarding PRoBT that the reviewers within this process identified as important to them. Three key themes emerged from analysis of the reviewer's guided self-reflections, completed following their role in undertaking PRoBT processes within one School at a regional university. Reviewers identified that performing the role of reviewer within PRoBT was a positive experience, that participating as a reviewer helped develop the reviewer's own blended teaching skills, and that the framework used to guide the PRoBT process is important, in terms of the framework's length, format, and consistent application. These findings address gaps identified in the literature. Grainger, Crimmins, Burton and Oprescu's (2016, p. 532) call for future research to consider the participant's experiences to "extend the current discourse around peer review processes and professional development of teaching" is at the core of this paper's focus on the reviewer's perspective. In addition, the findings reported here focused on peer review undertaken in the blended teaching environment (PRoBT). Swinglehurst, Russell and Grennhalgh (2008), McKenzie, Pelliccione and Parker (2008) and McKenzie and Parker (2011) have identified a lacuna in the PRoT literature, in that there is little research explicitly focused on peer review conducted on blended and/or online teaching. Given the increasing role of blended and online offerings to many university's teaching structures, greater research into PRoBT offers an opportunity

to enhance and develop the quality of student learning through blended and online offerings, through development of academic skills in this area.

This paper begins with a review of PRoT literature, with an emphasis on research focused on peer review in a blended, or online, teaching environment. The methodology and research design that informed the research is described. Next, the key topics from the reviewers perspective are explored, and the implications of each to PRoBT discussed. The paper concludes with consideration of the limitations of the research and future research directions within the field of PRoBT research.

PEER REVIEW OF TEACHING LITERATURE

Peer review of teaching, be it face-to-face, blended or online, has become an important and commonly used tool within the academic environment, particularly over the past decade. While variations in approaches exist, the act of PRoT can be distilled to being described as involving one academic (the reviewer) observing the teaching work of another academic (the reviewee), with the reviewer subsequently providing feedback to the reviewee on their teaching practice with the ultimate aim of subsequent improvement in student learning and outcomes. It has been suggested the outcomes of PRoT could be mapped on a continuum; "at one end is performativity, managerialism, monitoring and surveillance [summative approaches]; and at the other end is academic development, teaching performance and student learning [formative approaches]" (Grainger et al, 2016, p. 532). Whether the focus of the PRoT is on summative or formative outcomes, PRoT can have notable impact on development of teaching and learning skills within Business Schools and the management discipline. A range of terms has emerged to describe this process, including peer review, peer observation and peer enhancement, as reflected in the literature.

The literature has identified a range of benefits that can emerge from PRoT. These benefits accrue for the participants in the process through improvements in teaching quality (Carroll, 1980; Dalgaard, 1982; Lomas & Nicholls, 2005), through development of self-reflection (Al Qahtani, Kattan, Al Harbi, & Seefeldt, 2011; Peel, 2005), and through positive collegial relationships (Quinlan

& Åkerlind, 2000). However a range of barriers have been identified that can hinder the acceptance of ProT including fear (Lomas & Nicholls, 2005; Taylor, Atwood, & Hutchings, 2000), time constraints (Kell & Annetts, 2009), fairness concerns (Taylor et al., 2000), and a lack of cultural and organisational support (Barnard et al., 2015; Wingrove, Hammersley-Fletcher, Clarke, & Chester, 2018). A specific focus on factors affecting the benefits and acceptance of peer review in the blended teaching environment is yet to emerge in the literature.

PRoT literature has also given some limited consideration to the role and impact of the process on the participants, notably the reviewer and the reviewee. Swinglehurst et. al. (2008) and Grainger et. al. (2016) have identified that focusing research on peer review on the participants of the process can enhance discussions around both peer review processes and the scholarship of teaching and learning. Lomas and Nicholls (2005, p. 138) gave explicit focus to the reviewer as part of the PRoT process, stating that the reviewer "often had as much to learn from the experience as those being observed". The participant's perspective within the Peer Review process, both the reviewer's and the reviewee's, are important voices within the process. Despite the centrality of the participant's experience as part of PRoT and/or PRoBT processes, there is little research to date exploring the experience of the peer reviewer (Grainger et al, 2016).

There has also been some exploration within the PRoT literature on the frameworks used to guide the process. While the focus has traditionally been on peer review conducted in a face-to-face setting, more recently the framework guiding peer review conducted in the blended teaching environment has become recognised, partly due to two ALTC funded projects undertaken by McKenzie and Parker (2011) and Wood (2011). While blended and online teaching is becoming a common feature of the Australian higher education landscape, both McKenzie and Parker (2011) and Swinglehurst, Russell and Greenhalgh (2008) have noted the dearth of literature exploring PRoBT broadly, including a lack of attention to the frameworks and instruments that can guide PRoBT (Thomas, Chie, Abraham, Jalarajan Raj, & Beh, 2014). This is despite the acknowledgement that the use of scholarly criteria, on which such PRoBT frameworks are generally based, are important for

communicating expected scholarly standards (Ward, 2008). As such, the framework on which PRoBT is based can influence the process and outcomes of the peer review.

The findings presented in this paper contribute to the PRoT literature in these three areas; factors influencing acceptance of PRoT, the participant (specifically the reviewer's) experience of PRoT, and the framework used to guide PRoBT processes. In doing so, contributions are made to the PRoT and PRoBT literature, through identification of factors of importance to the reviewer's participating in PRoBT. The limited research on PRoBT, combined with the uniqueness of the focus on the participant perspective, gives the findings of this research the opportunity to make important contributions to the existing literature. In doing so, there are potential benefits to the academic community through enhancement of teaching and learning skills.

METHODOLOGY AND RESEARCH DESIGN

A case study research design was adopted, to facilitate an in-depth exploration focused within the context of one business school within an Australian University (Hatzipanagos & Lygo-Baker, 2006). Within this case study design, a practitioner-as-investigator approach was taken, adopting a similar approach to other research in the field (see Grainger et al., 2016). As Grainger et. al. (2016, p. 524) explain, this empowerment evaluation approach falls within a phenomenological methodological framework, and is appropriate in this setting as it allows for "iterative processes of evaluation of self as practitioner".

Data collection involved three stages.

In Stage One all the websites of all Australian universities, and a sample of international universities, were reviewed to reveal the extent of PRoT and PRoBT processes and frameworks across the sector. A range of key search terms were used to reflect the variance in terminology used to describe PRoT.

In Stage Two, the researcher's blended teaching was peer reviewed by three different reviewers, applying three different PRoBT frameworks identified in Stage One. The reviewers were volunteers from within one School of a regional university. Each participant had attending training on conducting a peer review, however they had varying levels of experience participating as a reviewer in peer reviews, and varying experience in blended teaching. On completion of the peer review process, the reviewer and reviewee completed a guided self-reflection, which was based on the criteria developed by McKenzie and Parker (2011). The self-reflections were pattern coded to extrapolate the key themes from both the reviewers and reviewee's perspectives (Miles, Huberman, & Saldana, 2014).

Stage Three of data collection involved the researcher moving from reviewee to reviewer role, undertaking a peer review of three courses delivered within the School by blended teaching. Reviewee participants were volunteers from within the school who had full responsibility for the preparation, development and delivery of course to students studying by blended means. At this stage the two most preferred PRoBT frameworks, as identified in Stage Two, were applied to the review of each course. As with Stage Two, on completion of the peer review, the reviewer and reviewees completed a guided self-reflection, with the results pattern-coded to reveal the key themes.

KEY FINDINGS FROM THE REVIEWERS PERSPECTIVE

Pattern coding and analysis of the reviewer's guided self-reflection revealed three key topics of importance from the peer reviewer's perspective. These three key themes are that participating in PRoBT as a reviewer was a positive experience, that peer reviewing is a learning experience for the reviewer, and that the framework that is used to guide the PRoBT is of importance to the reviewer. Each of these themes will now be explored in more detail.

Participating in PRoBT is a positive experience

All of the reviewers who participated in Stages Two and Three of the research project reported that they found performing a peer review to be a positive and useful experience. Reviewer 1 commented on the usefulness of peer review in both face-to-face and online teaching environments, and Reviewer 2 noted that it was an interesting activity to participate in. Reviewer 5 surmised their opinion of participating as a reviewer in the peer review process thusly:

> "PRoBT is such a valuable tool to encourage reflection on our teaching, with the potential to improve the learning experiences of our online/blended students. PRoBT can also encourage consistency in online/blended teaching across the School, through sharing of ideas and common practice used by other lecturers".

Overall there was consensus among the reviewers that performing the role of reviewer was a positive experience. Generally the focus of peer review is on the reviewee and the benefits that the reviewee can gain from participation in the process. This finding is of note as it demonstrates that participation is also a benefit for the reviewee. As reviewer self-reflection 3 commented, "I believe there is much to be gained from participation in the PRoBT process, both for the reviewee and the reviewer… It is definitely a valuable exercise and worth the time it takes". It has been reported in the literature that participation in peer review can illicit feelings of fear (Lomas & Nicholls, 2005; Taylor et al., 2000) and imposition (Kell & Annetts, 2009). This finding provides evidence that while there may be negatives to taking on the role of reviewer, there are also benefits that emerge. Given the voluntary nature of the reviewers' role, recruitment of reviewers for participation in PRoBT may be enhanced through communication of the benefit reviewers also accrue from the process.

Learning experience for reviewer

Another theme to emerge from the research from the reviewers' perspective was that participating in a peer review process was a learning experience for the reviewer. Reviewer 1 explained this when he stated that reviewing a colleagues' blended teaching "caused me to reflect on

courses that I deliver and have been involved in designing. It was a great experience seeing what is considered to be a very well designed blended course". The link between reviewing a colleagues' blended teaching and the reviewer's own self-learning was further explained by reviewer 3:

> "As a reviewer, it is a fabulous opportunity to see how my peers deliver their online courses, and get fresh ideas on ways I can improve my own teaching. Participating as a reviewer allows me to reflect and analyse my own teaching, which I think enables me to self-improve" (Reviewer 3).

The findings show that that performing the role of reviewer was a reflective experience (Reviewer 2), and through this self-reflection, new ideas for the reviewers' own teaching were generated (Reviewer 4). It was also noted that benefits accrued for the reviewer's self-learning through reviewing courses from different discipline areas than their own, as doing so was reported as advantage as it "provides a fresh lens through which to view my own teaching" (Reviewer 4).

This is an important finding in regards to peer review, as it shows that the benefits of participating in the peer review process accrues not only for the reviewee, but also for the reviewer. This can have positive flow on implications for improving teaching and learning quality throughout the Faculty, or University, if the peer review process is applied widely. Peer review is not a one-way street; learning and development can extend to *all* participants, thus highlighting to potential reviewers the value of participation in peer review.

The Peer Review framework

Reviewers raised their thoughts about the frameworks that guided the peer review process they participated in as another area of importance. Thomas et. al. (2014) identified that the PRoT instruments available for use can have a stunting effect on acceptance and uptake of PRoT, indicating the importance of giving consideration to the frameworks used to guide the process to generate the most benefits from the process. Three aspects of the framework emerged as important in the eyes of

the reviewers; the length of the framework, the format of the framework, and the importance of having a consistent framework for PRoBT.

Length of the peer review framework

In terms of the length of the peer review framework, reviewers commented on the amount of detail provided in the framework. Commenting on the shortest framework applied in the study, Reviewer 3 stated, "It is also worth noting the length of the framework – concise enough to be read in full, rather than seen as too long and time consuming". The longer, more detailed frameworks elicited less positive feedback, with reviewers commenting that using the longer framework was frustrating and onerous. Reviewer 3 surmised the implications of the longer framework when she stated:

> "The detail requested in the PS framework may be useful for summative purposes, as it specifically gives evidence of meeting the criteria, however this is in contrast to the rather lengthy document that is produced, which may not be read in detail if provided as part of a portfolio of documents (eg; relating to a probation or promotion request)".

Thus, reviewers saw the length of the framework used to guide the peer review process as having two implications on the overall process. Firstly, the longer frameworks took more time for the reviewer to complete, which reviewers reported as a frustration and therefore a possible limiting factor in volunteering to participate as a reviewer in peer review. Second, the reviewers questioned the utility of a framework that produced a lengthy document, pointing out that a framework that generated a lengthy 'output' document may be less likely to be read in full, particularly for summative purposes.

Format of the peer review framework

The second aspect of the frameworks discussed by the reviewers was the format of the framework, and specifically the format of the feedback portion of the frameworks. The feedback portion of the frameworks were quite different. The feedback on the CSU framework included a

Likert scale and a free-form box for written comments, whereas the feedback on the PS framework was separated into three sections; evidence found, strengths, and areas of improvement (AoI), with reviewers asked to provide written feedback under each of the three sections.

The reviewers expressed a preference for both the Likert scale and the free-form written feedback requested in the CSU framework. Reviewer feedback articulated that the free-form written feedback assisted in the reviewer generating richer and deeper feedback for the reviewee (Reviewer 3 and 4). The impact of the nature of the feedback requested by the framework was further illustrated in the below reviewer comments:

> "the amount of reading on the PS framework is a little off-putting, whereas with the CSU framework I got straight into analysing and thinking of improvement options for the blended teaching" (Reviewer 5).

> "while the requirement to stipulate the evidence found, strengths and AoI [areas of improvement] encouraged me to give well-rounded feedback, the time it took was a bit over-bearing" (Reviewer 3).

The reviewer's perspective on the format of the feedback within a given framework provides useful insight into the impact of the framework on the quality and depth of the feedback provided to the reviewee. It is therefore an important consideration in the design on the PRoBT framework, to ensure the maximum benefit is drawn from participation in the peer review process for both reviewer and reviewee.

A consistent framework designed for the blended/online teaching environment

Reviewer feedback indicated a strong preference for the peer review process to be guided by a framework that is consistently applied across the School/Faculty, and designed specifically for PRoBT. Reviewers identified that adopting and applying a consistent framework throughout the

School facilitated more structure to the overall process, which could lead to improved outcomes from the peer review. This was exemplified in the following comments:

> "The blended teaching frameworks brought more structure to the peer review process than my (limited) experience of face to face review" (Reviewer 2).

> "The provision of a framework that meets the needs of the reviewee, the reviewer and the university is vital to a consistent, useful and successful PRoBT process" (Reviewer 4).

Additionally, reviewers felt it important that the framework adopted by the School be specific to the peer review of blended/online teaching. Reviewer 1 stated that "I believe PR [peer review] online is very different from PR F2F [face-to-face] so requires its own templates and questions" (Reviewer 1). The reviewer noted the main difference between PRoBT and PRoT is that portions of the teaching cannot be observed within the process, such as email communications between the student and lecturer, and so it is important that this difference is reflected in a dedicated PRoBT framework. Reviewer 2 surmised this when he stated, "In a practical sense, selecting a single framework that matches or is adapted to the School's specific expectations for blended courses is likely to encourage participation".

The adoption of a consistent, PRoBT framework, as advocated by the reviewers above, would create a consistent approach to PRoBT within the School/Faculty. This consistency would be of benefit to reviewers in two ways. Firstly, a dedicated PRoBT framework would help guide less-experienced reviewers towards to provision of useful, relevant and applicable feedback to lead towards improved blended teaching in the reviewee. Secondly, adopting a single PRoBT framework within the School/Faculty would provide economies to reviewers who perform multiple PRoBTs, in that the reviewer will become familiar with the criteria and format of the PRoBT, enabling more effective and timely reviews to take place.

DISCUSSION AND CONCLUSION

This paper makes a valuable contribution to our understanding of the reviewer's perspective of PRoT, with a focus on peer review undertaken in the blended teaching environment. In doing so, practical insight into PRoBT has emerged, together with contribution to an identified gap in the PRoT literature. Given the voluntary nature of the reviewer's role, the findings that reviewers reported that participation was both a positive experience, and an opportunity for self-learning and self-reflection, may assist in the recruitment and acceptance of the overall Peer Review process in the academic environment. Additionally, the reviewer's experience of the various PRoBT frameworks can help guide the development of sound framework that results in valid, usable outputs, for both the reviewee and the University. Consideration of these findings can lead to improve outcomes in students studying via blended and online means, through the development of management academics teaching and learning skills.

It has been stated that "much remains to be explored, researched and documented as to how, and how far, 'online-ness' impacts on the peer observation process, the experience and the benefits for participants" (UTS, 2019). This paper has contributed to calls for research into the reviewer's perspective, and into the frameworks used in the PRoBT process. However, it is limited in that it reports on the experience of five PRoBT processes. Extending the research to incorporate a greater number of PRoBT processes, and subsequently expanding the number of reviewer's perspectives, would further enhance the quality of the research. Future research could further explore the nature of Peer Review in blended and online environments. In particular, research that specifically explores the impacts PRoBT can have on student learning could be useful in demonstrating the positive impacts and connections between PRoBT and student outcomes.

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Stream 1: Wicked Solutions to Wicked Problems: The Challenges Facing Management Research and Practice

Delivered Session

Conflict and Risk Arising from Failure of Management Rights Agreements to Reflect the Changed Role of Resident Managers at Strata Title Property Schemes

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ABSTRACT: Throughout the period since strata title was established in Australia in the early 1960s, the key stakeholder relationship between owners of allotments and on-site managers has undergone significant change. A major source of conflict between owners and managers has been the development of integrated letting agency functions which have created, in the opinion of resident-owners, conflicts of interest and time-management given owners contribute 100% of the Manager's Fee via levy contributions to fund upkeep and maintenance of the common property. The solution adopted by some schemes involves execution of individual contracts for caretaking and letting agency functions – however often-generous terms in original agreements act as impediments to replacing out-dated combined contracts with new and relevant separate agreements.

Key words: Strata title, Resident Manager, Management Rights, Caretaking and Letting Agency, Body Corporate and Community Management.

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STRATA TITLE CONTEXT

Strata title schemes involve individual and collective ownership of property where residential units are owned privately whilst the residual estate – known as "common property" – is owned jointly and severally by all unit proprietors (Guilding, Ardill, Warnken, Cassidy, & Everton-Moore, 2006).

Legislation and regulation relating to strata title in Australia developed as an ad hoc solution to a need to regulate tight clusters of independent owners (Christudason, 1996). It was consummated, initially, by passage of the *Transfer of Land (Stratum Estates) Act 1960* (Vic).

Numerous stakeholders participate in registered strata property schemes in Australia – described variously as condominiums, MTDs or Mutli-Title Developments (Easthope, Warnken, Sherry, Colacetto, Dredge, Guilding, Johnston, Lamminmaki, & Reid, 2014) or RMODs or Residential Multi-owned Developments (Johnston, Guilding, & Reid, 2010). "Stakeholders" have been defined as "any group or individual who can affect or is affected by the achievement of an organisation's objectives." (Freeman, 1984). Stakeholders who are likely to play an active role during the post-development or "operating" phase in the life-cycle of a registered strata scheme may be classified according to their perceived significance for the viability of a scheme.

A Primary Stakeholder has been defined as "one without whose continuing participation the corporation cannot survive as a going concern" (Clarkson, 1995) and that "it is nigh on impossible to conceive of a strata titled tourism accommodation (STTA) complex remaining operational as a provider of tourism accommodation in the absence of owners and tourists". Based on "the degree of influence exerted by the stakeholders", researchers have defined "unit owners, resident managers and tourists" as primary stakeholders (Cassidy & Guilding, 2010). The first two groups (unit owners and resident managers) are "supply-side" stakeholders whilst the third (tourists) are "demand-side" stakeholders. The work of researchers tends to be focussed on "supply-side" stakeholder groups (Guilding et al., 2006). Secondary stakeholders – which have been defined as "not essential for a

corporation's survival" - include "real estate agents, body corporate committees, body corporate service providers, competitors, financiers, state government tourist offices, developers and management rights brokers".

Amongst the many stakeholders with involvement in strata property schemes, the relationship which attracts most attention by researchers is that between unit owners and resident managers – including due to the idiosyncratic nature of condominium governance and the conflicts that can arise between a condominium complex's unit owners and its resident manager. (Guilding, Warnken, Ardill, & Fredline, 2005). Evidence exists which suggests many stakeholders are unaware of their rights and obligations as lot owners, and owner apathy is rife in many schemes (Goodman & Douglas, 2008; Easthope, Randolph & Judd, 2012). Consideration of inter-relationships between stakeholders may be assisted by reference to agency theory to the extent that potential for conflicting interests between one or more parties is regarded as a fundamental precept of agency theory modelling (Goodman & Douglas, 2008).

The Changing Role of the Resident Manager

One of the three nominated "primary stakeholder" participants in strata title schemes is the "Resident Manager". This is a title which is descriptively accurate – because, due to licencing limitations, the majority of condominium managers in Australia are residents of the complexes they manage – but it provides limited insights into the tasks performed by the incumbent. It also embodies a role that has developed and changed significantly over time. Following emergence of strata title in Australia during the early 1960s, the standard operating model depicted in Figure 1 involved purchase of the right to manage a complex or building – a concept unique to Australia - along with title to the resident manager's apartment. This model had the objective of improving the purchaser's motivation to act effectively as caretaker (Guilding et al, 2005). As a scheme proprietor, a resident caretaker was deemed to be more highly motivated to discharge instructions issued by the body corporate committee regarding maintenance of all jointly-owned areas of the estate – known as "common property' – comprising gardens, BBQ facilities, walkways, pools, stairways and car parking areas.

Insert Figure 1

Purchasers of management rights had the opportunity to earn returns on their investment from three sources: (i) remuneration paid under a formal Caretaking Agreement executed between him or herself and the committee on behalf of body corporate members, (ii) capital gain upon the sale of the management right, and (iii) capital gain upon the sale of the resident manager's apartment. A Management Right will be valued according to a multiple (characteristically three or four times) of the annual salary plus escalation stipulated in the Caretaker's Agreement, multiplied by the number of years to expiry. Initial management right agreements – usually created by the scheme developer but able to be assigned – had maximum terms of up to 10 years or up to 25 years according to the relevant Regulation Module (1).

As the Australian strata sector developed, the on-site manager or caretaker at complexes offering tourism accommodation were ideally-placed – after gaining a limited letting agent's licence – to manage arrangements on behalf of owners offering their allotments for short-term rental. Whilst continuing to discharge their caretaking responsibilities, resident managers progressively expanded their roles to include management and supervision of short-term holiday rentals for allotments in the letting pool – and, later still, expanding the range of services they offered to include provision of tourist advice, bookings and transport arrangements. Owner-occupiers perceived a conflict-of-interest between the amount of time the on-site manager was committing to caretaking duties (querying the standard of performance thereof) versus time committed to managing letting agency affairs.

Paralleling this expansion of functions has been a corresponding increase in wealth-creation potential for owners of management rights. Previously, wealth-creation potential for on-site managers was determined by a single income stream associated with contracted payments for caretaking duties. Over time, however, the functions of on-site managers have expanded to include additional sources of income associated with letting agency arrangements in the form of commissions paid by investor-owners for sub-letting units in the letting pool and travel services.

Management Implications

To the extent that growth in letting agency business has progressed over the past fifty-plus years to the point where management rights holders in a tourism complex are currently deriving most of their financial returns in the form of sub-letting commissions for renting units assigned to the holiday letting pool (Guilding et al., 2005), MR owners are confronted by the competing challenges of meeting contracted caretaking obligations to allotment owners and meeting the needs of short-term holiday tenants.

Since the potential for wealth-creation attaching to a management right is a function of (i) annual income earned from all income streams, times (ii) a multiple of that combined annual income, for the number of years to expiry of the letting agency agreement, it follows that a management right for short term tourism accommodation complexes will be more valuable the higher the proportion of units in the letting pool (Cassidy et al., 2010) and the longer the term of the agreement.

STAKEHOLDER INTERACTIONS: SOURCES OF DISPUTATION AND CONFLICT

Relationships amongst and between the many stakeholder groups with interests in strata title schemes may become strained and conflicts may arise due to "profound operational and governance challenges" arising from the fusing of private lot ownership with common property ownership (Guilding et al., 2006).

One source of potential conflict is the principal and agent relationship existing within the conventional workings of condominium complexes between allotment owners and the resident manager where a contributing factor to the dynamics of the relationship are the wealth-seeking objectives of unit owners and the wealth-seeking objectives of resident managers (Guilding et al., 2006). Another potential source of disruptive and expensive conflict is the existence of sub-groups of resident owners and investor owners within the owners' corporation. These subgroups are a direct consequence of development of and selective participation in integrated letting agency businesses.

Emergence of separate sub-groups of owners' corporation members reflects the fundamentally different and conflicting objectives of members of each sub-group. Resident-owners, for example, are likely to take a greater interest in the aesthetic appearance of the complex and will

derive no utility whatsoever from the letting pool at a complex being run with optimal efficiency by the resident manager. In fact, their preference would be for the manager to be allocating more time to his or her caretaking responsibilities - with most likely to opt for lower rather than higher levels of occupancy particularly given the propensity for some short-term occupants to be noisy or to otherwise exhibit intrusive behaviour. Investor-owners, on the other hand, will prefer higher levels of occupancy in order to generate higher rental incomes to maximise returns on their investments (Guilding et al., 2006). The inherently different interests of resident owners (Cassidy et al., 2010) relative to investor owners (Cassidy et al., 2010) have contributed to significant change in strata title scheme structures in Australia and may result in a "power struggle" with respect to representation on body corporate committees (Guilding et al., 2006).

A further source of conflict arising from resident managers' expansion of letting agency and tourism and transportation services is the awareness of unit owners that these businesses operate rent-free in building locations designated as reception areas which may, in some schemes, be the common property of unit owners. Development of letting agency and tourist services means the interests of resident managers tend to be more closely aligned with the tourism role of a complex compared to resident-owners' interests because higher occupancy rates are likely to result in higher commissions earned by the manager (Guilding et al., 2006).

Contemporary changes in stakeholders and stakeholder relationships in the Australian strata title sector are depicted in Figure 2 including participation by entities associated with the letting agency functions performed by on-site managers and emergence of specialists including management rights brokers, financiers and advisors unique to expanding strata sector activities. Another noteworthy feature of stakeholders in letting agency businesses – including all of the non-tourist entities shown on the right-hand side of Figure 2 – is that they tend to be incorporated entities.

Insert Figure 2

Structural changes in the strata title sector have not been universally reflected in corresponding changes to associated formal relationships – in particular, some management rights agreements still combine the distinctly separate functions of caretaking and letting. Figure 2 echoes this dichotomy to the extent that, whilst it portrays structural and stakeholder changes consequent upon separation of the caretaking and letting agency functions of on-site managers, it is not a conceptualisation of the strata title sector – because a universal sector structure does not exist. Figure 2 only portrays a structure for schemes which have adjusted their formal arrangements in keeping with contemporary developments. This begs the question as to why other schemes have elected not to update their formal contractual arrangements, including management rights.

NOT ALL MANAGEMENT RIGHTS REFLECT SECTOR CHANGES

Conventionally, the principal strata title sector contractual arrangement has been the one joining the body corporate committee acting for body corporate members with an on-site manager, stipulating *ceteris paribus* responsibilities of the on-site manager and his or her terms of remuneration. Manager's Fees are funded by levy contributions paid by unit owners in relation to duties and responsibilities confined to upkeep and maintenance of the common property. Notwithstanding the broadening of resident managers' roles to include short-term letting agency management, contract arrangements governing these diversified activities are still commonly encapsulated in a single "Caretaking and Letting Agreement". A CLA is usually created by original owner (or developer) of a scheme and may be on-sold or "assigned" to an individual or corporate entity subject to the approval of the body corporate committee on behalf of the body corporate. CLA terms may be up to 10 years or up to 25 years, depending upon the relevant Regulation Module (1).

Conflicts arise from numerous sources in relation to CLA arrangements including, most notably, due to an absence of accountability arising from the "scrambling" of functional responsibilities and funding obligations. Terms of a CLA are characteristically summarised in a covering "Items Schedule" stipulating parties to the agreement, the "Initial Manager's Fee" for the first year, the term and date of expiry. The Manager's Fee will be usually be adjusted annually on the

anniversary of the Commencement Date according to an escalation factor stipulated in the body of the agreement and applying over the life of the CLA.

The Manager's Fee is paid by the body corporate and funded by contributions levied on unit owners. All outlays are restricted contractually to the funding of staff and materials costs associated with "Caretaking" and "Specific Management Duties" stipulated in the Schedule attached to the CLA, but measuring the extent to which a resident manager complies with this stipulation - meaning no portion of the Manager's Fee is to fund staffing or other costs associated with letting agency business – is a functional impossibility. Whilst none of the "Specific Management Duties" relate to letting agency matters, resident-owners frequently allege the on-site manager is failing to deliver commitment and effort to their caretaking responsibilities consistent with unit owner funding obligations via levy contributions. Disputes arise when investor-owners expect the manager to expend maximum time and effort marketing and assigning bookings to units in the letting pool despite the terms of CLAs providing for zero funding for staff and other costs associated with integrated letting agency businesses.

Emergence of New and Expanded Stakeholder Relationships

As previously noted, the sector structure depicted in Figure 2 acknowledges the expanded role of on-site managers at some – but not all - Australian strata title schemes. It details additional stakeholder relationships created as a result of developments associated with expansion of the role of on-site managers involving functional separation of the conventional role of caretaker from responsibilities associated with developed letting agency activities, along with the prospect of those separated roles being performed by different persons and, in the case of letting agency matters, by incorporated enterprises. Structural arrangements shown in Figure 2 confirm the absence of any role associated with the letting agency business for the body corporate or body corporate committee members, other than initial approval of the letting manager and granting access to reception facilities (should those areas be part of a scheme's common property).

Of the three Primary Stakeholder groups defined previously as those "without whose continuing participation the corporation cannot survive as a going concern", Figure 2 shows two of

them – unit owners and resident managers, described as "supply-side" stakeholders – separated into functional sub-groups comprising, in the first instance, resident-owners and investor-owners and, in the second instance, caretaking and letting agency functions performed by the on-site manager. The interests of parties has been described as being sufficiently different as to warrant them being considered separately, including insofar as formal contractual arrangements are concerned. Additional major stakeholder associations portrayed in Figure 2 include relationships between Letting Agency Managers, financiers and management rights brokers. The last group – which is a unique feature of the strata title sector in Australia – are "real estate agents that exclusively sell management rights businesses" and have been "an integral part of the short-term tourist accommodation sector in Queensland for many years" (Guilding et al., 2006). Survey respondents have described management rights brokers as: "selling a lifestyle product to potential RMs, not necessarily a business" (Guilding et al., 2006).

Management Rights May No Longer Reflect Resident Manager Roles

Relationships shown in Figure 2 do not reflect contractual terms captured by Caretaking and Letting Agreements. As their name implies, a CLA concerns arrangements relating to responsibilities associated with a resident manager's caretaking duties – which relate to the maintenance of common property owned by members of the body corporate – and stipulations concerning his or her letting agency role – in relation to which neither the body corporate nor the body corporate committee can exert any valid influence or control. Queensland management rights agreements still commonly take the form of a "Caretaking and Letting Agreement". Despite, as previously noted, the major changes which have taken place regarding strata title scheme resident manager roles. Several factors conspire to prolong the life of CLAs in spite them being unrepresentative of contemporary relationships in the strata title sector. Those factors include the inherent structure of CLAs – in particular, potentially decades-long terms - and preferences of resident managers (mirroring the wishes of their financiers) to extend the life of existing agreements rather than renegotiate new terms.

Generous Terms of CLAs Contribute to Their Retention

Major contributing factors underlying preferences on the part of resident managers to maintain – or, indeed, to extend - existing Caretaking and Letting Agreements rather than replacing them with new more relevant management rights arrangements are (i) characteristically generous Manager's Fees and (ii) the characteristically long-dated terms embedded into original CLAs – often to increase there attractiveness to potential purchasers of the rights. When an on-site manager buys the right to manage a building or complex, he or she pays a sum which settles both the purchase of a manager's apartment and the management right – which is contractual arrangement guaranteeing payment of an annual Manager's Fee for a specified term - usually over many years. In the case of schemes governed by regulation defined in the Accommodation Module attached to the *Body Corporate and Community Management Act 1997* (Qld), that term may be for a maximum period of up to 25 years.

The number of years remaining until expiry of the contractual agreement is the key determinant of the value of that management right – with greater value attaching to rights with a longer period during which guaranteed income payments will flow to the purchaser of it, ostensibly regardless of the standard of performance discharged in meeting obligations stipulated in the contract. Likewise, since a diminished – and diminishing – value will be attributed to rights with shorter periods to maturity, it is in the interests of owners of short-dated rights to seek to initiate a ballot of body corporate members to extend the terms of existing agreements. Extensions approved by the body corporate are usually granted for an additional five years and limited to one during each financial year.

Extensions to existing arrangements are preferred over new contracts by owners of management rights who characteristically exhibit reluctance to renegotiate (as distinct from extend) the terms of an existing agreement despite the "decaying" term to the expiry date. Reluctance to seek the execution of replacement agreements - incorporating separate arrangements for caretaking and letting agency functions - most likely arises from expectations that the terms of new or renegotiated arrangements – particularly in relation to the annual Manager's Fee - will be less attractive than those

embedded in existing agreements. Initial agreements were usually created by the developers, in whose interests it was to embed overly-attractive terms to the extent that such generosity – which created obligations for unit owners not the developer to pay annual Manager's Fees over many years – improved the prospect of on-selling the rights.

For the same reasons, financiers of owners of existing management rights have a parallel preference to that of their clients – particularly in the event of the terms being deemed to be generous – favouring maintenance of an existing contractual arrangement, primarily due to loans to purchase management rights being commonly collateralised by a lien over those rights . Moreover, due to a desire on the part of the banks to manage down (i.e., reduce) the risk characteristics of their loan portfolios, clients will be asked to initiate the execution of a "top-up" motion to be put before the body corporate to approve extension of the existing term to expiry on the grounds that longer-dated guaranteed income streams have greater inherent value than do shorter-term income streams.

In some circumstances, unit owners may also prefer no change in existing management rights arrangements – meaning no extension of the existing term to expiry - if the alternate course of action involves extension of arrangements deemed to favour the Resident Manager.

CONCLUSIONS AND SOLUTIONS

The two points of view underlying conflict relating to the continuing existence of "combined" Caretaking and Letting Agreements at some strata title schemes are well known and established. On one side of the argument sit resident-owners of units who claim a need exists to protect their eroding interests by replacing out-dated combined agreements with separate contractual arrangements for caretaking services – which are funded 100% via their levy contributions – and letting agency matters which are controlled by on-site managers in corporatized entities in relation to which the body corporate has no interest or control . Central to the claims by resident-owners is a belief that the generous terms of Caretaking and Letting Agreements were struck by their creators (scheme developers) more for the purpose of assisting their sale by meeting market price-points rather than reflecting actual costs associated with funding the caretaking duties they facilitated. On the other side of the argument are Resident Managers who claim (with justification) that they purchased the

management right after paying a price determined by the Manager's Fee times the years to expiry. To that extent, they argue that on the basis of market-determined yields on assets, it is not and was not they that were the beneficiaries of the generosity of terms – that once-off windfall went to the developer at the time of the initial sale of the Management Right. As a consequence, current owners of a Caretaking and Letting Agreement – along with their financiers – are reluctant to replace or renegotiate existing arrangements. Almost universally they are more likely to seek to extend.

Achievable Management Solutions

The existence of out-dated Caretaker and Letting Agreements is testimony to their attractiveness, in an on-going sense, to one or other of the parties to them. Were the interests of both parties satisfied by CLAs being replaced with separate contractual arrangements for caretaking and letting agency functions of on-site managers, few CLAs would now exist - because that change would have already occurred. Replacement would have been the obvious practical response.

The fact that combined CLAs have not been replaced or renegotiated is evidence of their continuing advantage to the vested interests of one of the parties – and that that party is likely to seek to extend the benefits arising from their continuing existence for as long as is possible. To the extent that the parties currently reaping advantage from the existence of - and potential extensions to - Caretaking and Letting Agreements are Resident Managers and their financiers, it follows that the interests of members of the body corporate will not be served by any extension to the terms of such agreements.

The alternative – representing an optimal outcome for allotment owners – is (i) to reject all motions to seek extension of the term of an existing CLA - on the grounds that an unfavourable arrangement is rendered more unfavourable by its prolongation, and (ii) upon expiry of the CLA, to execute two new and separate management agreements - one for discharging caretaking obligations and another for the management of the letting agency.

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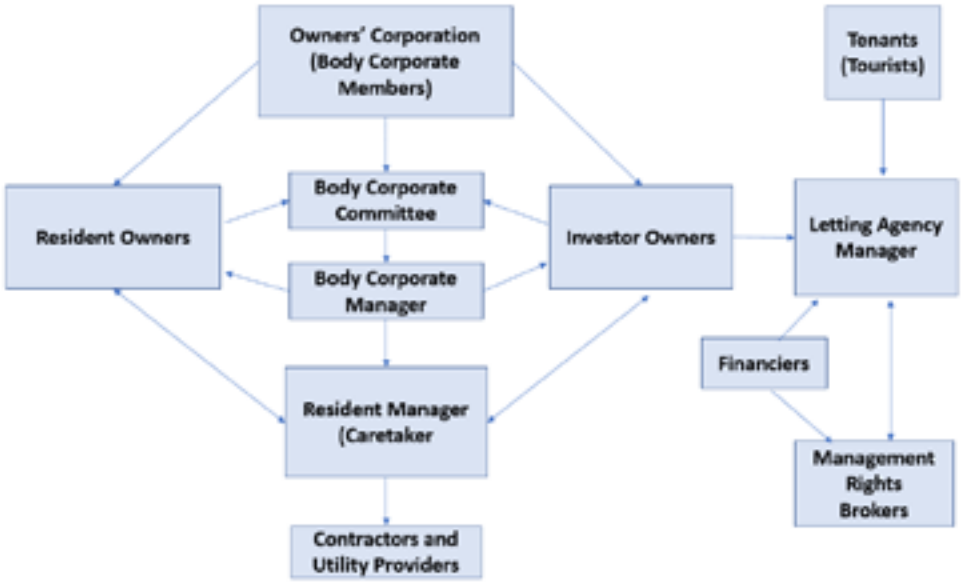
NOTES

1. The maximum term for a Management Right is determined by the Regulation module relevant to the scheme according to the *Body Corporate and Community Management Act (Qld*) 1997. The *BCCMA Accommodation Module*, which stipulates regulation for schemes involved in the provision of tourist accommodation, stipulates a maximum term of 25 years, whilst for schemes of six or fewer lots, the *BCCMA Standard Module* stipulates a maximum term of 10 years.

Annexure

Figure 1: Australian strata title standard operating model

Figure 2: Australian strata title extended operating model



Management Education, Learning and Teaching
Refereed Interactive Paper

Authentic Assessment in the Curriculum: Employability & Contemporary Issues within Higher Education Business Schools

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Authentic Assessment in the Curriculum: Employability & Contemporary Issues within Higher Education Business Schools

ABSTRACT

Employability is a key component within the curriculum of UK Higher Education Institutions (HEIs) with the recently introduced Teaching Excellence Framework (TEF) reforms focusing on employability as well as government benchmarking with an emphasis on graduate salary outcomes and value for money. This can potentially have major implications for university business schools as they will face competitive challenges from peer universities and by employers recruiting school and college leavers. Greater use of authentic assessment using reports, business plans, etc. could address the issue. This study will conduct a literature review of authentic assessment in the context of a millennial workforce and employers that are moving away from degree classification as their primary graduate recruitment filtering criterion.

Keywords: Employability, Authentic Assessment, Higher Education, Learning & Teaching,

INTRODUCTION

Employability is now recognised as an important constituent part of good teaching rather than a peripheral activity provided by Careers departments within HEIs. The 2016 UK government higher education white paper posits that students have two major decisions to make when considering higher education study. The first relates to what course they choose to study and the second is the choice of institution for their studies. Such choices can greatly influence future career success and perceived value for money from the course fees incurred in the students' study (Higher Education White Paper, 2016). The white paper concluded with the recommendation of the implementation of the Teaching Evaluation Framework (TEF) in 2017 which awards HEIs a bronze, silver or gold rating.

LITERATURE REVIEW

Employability according to UK research can be defined as "the potential a graduate has for obtaining, and succeeding in, graduate level positions" (Yorke and Knight, 2004, p4). Some academics such as Dacre-Pool and Sewell (2007) believe it encompasses the acquisition of a set of technical and non-technical skills plus embedded career management and work integrated learning. Hinchliffe and Jolly (2011) build on earlier studies by proposing four strands of graduate identity, namely Values, which incorporates personal ethics, trust, social values and organisational values; Intellect, related to the ability to think critically, to reflect and to possess intellectual curiosity; Performance, related to the ability to learn quickly, their written and verbal communication, to recognise and to deliver results. Finally, Engagement meaning having a wider perspective, a fully rounded person rather than a bookish graduate and possessing a can-do attitude. Australian research into employability has developed an alternative concept of Graduate Attributes which is explained in further detail in the next section.

Graduate Attributes & Work Based Learning

Graduate Attribute theory has been developed and extended by Australian academics such as Barrie (2007) and Jackson (2015) evolving into a framework encompassing competencies favoured by employers. The graduate attribute approach to employability has been replicated by many universities in the UK across the full spectrum of higher education. A study by Cranmer (2006, p182) found "that structured work experience and employer involvement in degree course design, delivery and assessment was found to have positive effects on graduates' outcomes, in their ability to find graduate-level jobs within six months of graduation".

Assessment in the Curriculum.

There are two categories of assessment within the curriculum. The first is known as formative assessment and this involves either informal or practice assessment that does not contribute to module or course mark. The second is summative assessment, which does contribute to the final mark, measures or certifies learning at the end of an assessment event (Earl, 2003). There is a grey area between the two forms of assessment as "in course" assessment serves a dual role of providing feed forward and yet contributing towards the overall mark (Yorke, 2003). Informal formative assessment such as students receiving support from their tutor in developing their assessment after submitting a draft can lead to student overconfidence and it becomes harder to determine whether the student has developed sufficiently to deal with similar work without the support of the academic (Yorke, 2003). The two types of assessment are not mutually exclusive, and curricula will usually be a blend of both formative and summative assessment.

Authentic assessment is a form of assessment that seeks to emphasise the practical application of tasks in real-world settings (Fook and Sidhu (2010). Their research found that it can be considered time consuming by the students in the study and they also suggested that summative assessment should not cause too much anxiety for the students. Mueller (2005) defines it as direct measures of students' acquired knowledge and skills through formal education to perform authentic

tasks. James and Cassidy (2016, p1) define it as *"tasks that measure and test the skills and practice that they will need in their future careers – tasks that mirror professional practice and test more than just rote memorisation".* By conducting authentic assessment in a formative context, research has shown that it promotes the improvement in instructional practices and plugging gaps in the curriculum which has resulted in increased student performance (Dunn and Mulvenon, 2009). James and Cassidy (2016) have found that authentic assessment is favoured by students that are career orientated.

There is a growing body of knowledge on the increasing expectations of employers on university graduates and the perception that university education does not adequately prepare them for the world of graduate employment (Cranmer 2006; Dacre-Pool and Sewell 2007; James and Cassidy 2016). Theoretical assessment without work based learning does not necessarily constitute inauthentic assessment as this form of assessment can still promote the development of graduate attributes such as critical thinking skills and academic excellence. Notwithstanding, HEIs should not simply assume that the curriculum will automatically prepare graduates for the world of work. Jackson (2015) believes that HEIs could do more and recommends greater participation in work based learning. MacLean (2016) highlights additional concerns by academics of both formative and authentic assessment with respect to an increased workload. To overcome this perception, it may require more innovative approaches in the curriculum in order to apply authentic assessment as it is recognised that the increasing pressures on academics mean that they are called upon to do more with less time (Boud & Molloy, 2013). Nevertheless, MacLean's findings reveal that the increased workload can be offset by the increased personal reward from the high quality work that students have produced which inspires them to continue with their approach.

The Rationale for Authentic Assessment in the Curriculum

As UK students face tuition fees of up to £27k plus additional living expenses, prospective students are beginning to look at alternative routes to securing a successful career. Major employers

now offer a dual college leaver and graduate leaver programme. Both routes can end up on the same career trajectory, but one will have an accelerated path. This could mean that 18 year olds may choose the college leaver route offered by organisations instead of attending university (Top Employers for School and College Leavers, 2017). This recent development is potentially troubling for universities as it could provide an existential crisis for some universities if their perceived role is to equip their graduates with high paying employment opportunities. To compound this problem, recent legislative changes in April 2017 have resulted in the Apprenticeship Levy which means that organisations with a greater than £3m per annum wage bill may have to forfeit 0.5% of their turnover if they do not provide apprenticeships for their workforce (Apprenticeship levy, 2017). This change in legislation has provided opportunities and threats in the higher education market place and some universities are now beginning to offer Degree Apprenticeships following their introduction in 2015 (Degree Apprenticeships, 2015).

Perceived Grade Inflation

In recent years there have been calls for universities to reform degree classifications as it masks considerable variation in attainment. This has been identified in the UK press where the former University Minister of the UK Government has argued that there has been a 23% percentage point spike in 2:1 classified degrees in the last two decades and he believes this allows some students to coast and still attain the grade (Weale, 2015). This view is supported by Bachan (2015) who concurs that grade inflation has been on the increase since the mid 2000's. The issue of grade inflation is not new and was first discussed in the academic literature more than thirty years ago (Kolevzon, 1981). Stroebe (2016, p 813) argued that "using teaching evaluations for important decisions such as salary increases (for academics), tenure decisions, promotions, or the appointment of new faculty members is a contributing factor of grade inflation". Another study by Chen, Wang & Yang (2017) in South East Asia supported the tendency to raise grades to secure higher teaching evaluation scores. Nevertheless, they add that teachers may still receive unfavourable scores even with grade inflation and that students' feedback will also be influenced by what the students apparently value such as teacher personalities, the extent of effort that students have had to invest into the module and their

preferred teaching methods. There is a counterargument that grade inflation is the product of more efficient and effective teaching strategies in higher education. However, the research by Bachan (2015) acknowledges that employers concerns about the UK degree classifications may not be misplaced.

The justification for not specifying degree classifications for employers is a sensitive area and therefore employers may not attribute their rationale to perceived grade inflation and instead cite the more politically acceptable reason of widening opportunity and social mobility (Social Mobility, 2017) which projects an image of good corporate social responsibility. An alternative selection process entails graduate candidates completing a rigorous psychometric test in lieu of a specified degree classification. Research has shown that recruiters use psychometric testing extensively with 80% of US Fortune 500 organisations and 75% of UK Times 100 employers using psychometric testing to filter out unsuitable candidates (Pychometric-Success.com, 2019).

University League Tables

Over the last three decades university league tables have become an increasing part of working life within the curriculum. Rankings have provided an opportunity for comparison of HEIs and schools via a number of metrics which can affect the reputation of a HEI and its influence and the ability to attract funding (Pusser and Marginson, 2013). This tends to lead to a degree of homogeneity or isomorphism (DiMaggio and Powell, 1983), i.e. the tendency for HEIs to normalise and become similar. Some universities focus their efforts predominantly on the domestic league tables while the more research-intensive universities focus on the global rankings. The UK league tables tend to lend more weight to student evaluation which is collected annually via the NSS (National Student Survey, 2016) and the domestic league tables feature this metric in their league table calculator (Gibbons, Neumayer & Perkins, 2015). With the increased emphasis on graduate employability, a report into graduate employability published by The Economist in August 2017 (Economist, 2017) devised a measure of teaching impact by looking at graduate earnings. The article concluded with a league table which measures graduate earning potential that can be filtered by HEI

and provides further granularity by subject area. This report also factored in geographical differences and prior educational achievement to increase the validity of its findings. More recently graduate employability is also reported in salary data based on five year longitudinal educational outcome (LEO) data drawn from payroll records from Her Majesty's Revenue and Customs (Graduate Outcomes, 2018).

The Millennial and Generation Z Factor

The rise of student power has intensified as the Millennial generation of students graduating after 2000 (Maxwell and Broadbridge, 2016) and Generation Z students born after 2000 (Ozkan and Solmaz, 2015). The Millennials and Generation Z have different traits and behaviours to past generations. Their traits include being technologically savvy, possessing the ability to multi task and tending to be more career agile i.e. they change jobs more frequently (Ng, Schweitzer & Lyons, 2010). They also require more support through regular "check ins" with their line managers. This generation has received a lot of positive affirmation and protection from their parents and this has led to the charge that it has resulted in extended adolescence which means that their emotional intelligence may be less developed than what employers' desire. Further research has also highlighted that this generation has a high level of self-entitlement and narcissism (Twenge and Foster, 2010) with the power to influence university league table position via the NSS survey, HEIs understandably go to great lengths to accommodate the student community. Unfortunately, there is a perception that this has spilled over to assessment and grade average. A lower mean grade average may lead to lower scores in student evaluation and there has been academic research to support the accusation of grade inflation within HEIs (Stroebe, 2016)

According to research by CBI/Pearson (Telegraph, 2017) a third of employers surveyed identified graduates from this generation lacking self-management and resilience. As this graduating generation are now entering the workplace in greater numbers, there has been the emergence of a two tier recruiting strategy of university graduates and school and college leavers. This potentially

spells danger for weaker students within the HEIs as they may be competing with their peers as well as with applicants from the previous cohort year that were unable to find a job. Research by Maxwell and Broadbridge (2016) into Generation Y behaviours recommended that HEIs could do more to promote work based learning to manage the expectations of the students and to bridge the gap between the expectations of employers.

CONCLUSION

Authentic assessment entails setting assessment tasks that "mirror professional practice and test more than just rote memorisation" (James and Cassidy, 2016, p1). The author believes it should be an important component of the curriculum of HEI degrees because of several major pervading trends influencing employability and full time degree programmes. Those trends include: the perception of grade inflation (Bachan, 2015) within higher education which is arguably motivating calls to abandon the degree classification as a recruitment criterion in favour of psychometric testing. The second trend is the emergence of a school/college leaver route adopted by major employers where 18 year old entrants join the organisation and work their way up the promotional ladder without the need for a degree (Top Employers for School and College Leavers, 2017). Finally, apprenticeship degrees also offer to students an opportunity to study for a degree while in work. The opportunity to "earn while you learn" will be a compelling offer for some students and HEIs that either ignore this threat or do not offer such degrees could be in a vulnerable position. The author believes that embedding authentic assessment within the curriculum offers HEIs the ability to respond to the potential environmental threats.

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07. Leadership, Governance and Strategy

Delivered Session

A Qualitative Examination of The Relationship Between Organizational Resilience and Post-Merger Integration

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Stream 7. Leadership, Governance and Strategy
Delivered session

A Qualitative Examination of The Relationship Between Organisational Resilience and Post-Merger Integration

ABSTRACT: *Extant literature attributes M&A failure to post-merger integration (PMI) issues. Understanding the organisational capabilities and characteristics that enable or inhibit PMI is a key challenge for M&A scholarship. A specific under-examined issue concerns the link between post-merger integration (which creates uncertainty) and organisational resilience (the study of how uncertainty can be better managed). To date, there has been limited work that connects resilience and PMI at the organisational level of analysis. Through an empirical examination of an airline company in the later stages of PMI this research investigates the relationships between organisational resilience and PMI. Balanced commitment, developing new social capital, continuous adaptation and amalgamated resources are identified as key factors influencing the contribution of organisational resilience to PMI processes.*

Keywords: Employee resilience; mergers and acquisitions; organisational resilience; post-merger integration

Whilst the popularity of merger and acquisitions (M&A), as a method for achieving corporate strategic goals persists, so too does the high failure rate of this activity. The extant literature frequently attributes M&A failure to post-merger integration (PMI) issues. Therefore, understanding the organisational capabilities and characteristics that enable or inhibit PMI is a key challenge for M&A scholarship (Angwin and Meadows, 2015). An under-examined issue concerns the link between post-merger integration (*which creates uncertainties within the merging organisations*) and organisational resilience (*the study of how such uncertainties can be better managed*). Organisational resilience can be broadly understood as the ability to bounce-back from failure or adversity (Linnenluecke, 2017). To date, there has been limited work that connects resilience and PMI, and existing research tends to focus upon how M&A affects employee resilience (Cho et al., 2017; Khan et al., 2017), rather than the role of resilience at the organisational level of analysis for PMI processes and outcomes. This paper asks, *how does organisational resilience contribute to post-merger integration processes and outcomes?* It draws upon empirical research conducted in the airline industry. The airline industry is selected because it is a large, complex and global industry within which M&A activity is frequently undertaken. Key contributions are three-fold. First, this research bridges the gap between two fields which are currently theoretically disconnected and where an integrated theorisation has significant potential to inform both future research

and advance practice. Second, by identifying how organisational resilience relates to PMI, the empirical analysis informs the creation of a novel inductive model which can be used to frame future research. Third, the project's findings suggest a range of interventions that could support businesses in navigating the uncertainty inherent in PMI.

This short paper is structured as follows. A concise, but critical, examination of the extant literature on M&A, PMI and organisational resilience is provided, and a synthetic conceptual framework of the existing literature is developed to guide data collection and analysis. The study's methodological approach and research design is briefly outlined. The study's key findings are presented through Gioia et al.'s (2012), data structuring technique. Theorisation is unpacked through a novel inductive model. Finally, the paper's contributions, limitations and avenues for future research are outlined.

TOWARDS A THEORETICAL FRAMEWORK

This paper brings together two theoretically distinct literatures - PMI and organisational resilience - to provide new insights into the role of resilience in shaping M&A processes and outcomes. The underlying motivation for this study comes from the large M&A literature that demonstrates that M&A activity rarely delivers its anticipated strategic, financial and operational benefits. Within this literature, the challenging and uncertain nature of PMI is often identified as having a key influence upon outcomes.

Mergers and acquisitions (M&A) are frequently used by corporations to achieve restructuring and expansion in both domestic and global markets (Angwin, 2000; Bodner and Capron, 2018; Khan et al., 2017). Within the first half of 2018, a record 2.5 trillion USD worth of M&A deals occurred (Grocer, 2018). However, the effects of M&A on participating companies, wider economies and societies is highly ambiguous, with a significant strand of research suggesting that more than 50% of M&As fail (Bauer and Matzler, 2014; Bodner and Capron, 2018; Datta, 1991; Marks and Mirvis, 2011). M&A failure can take multiple forms, ranging from costly financial losses to divestment of the acquired company. Broadly, M&A activity is deemed to have failed when the merged or new entity is unable to accomplish its desired objectives. M&A failure is both organisationally and socially significant. Given that failure frequently

occurs during the PMI phase (Kroon and Noorderhaven, 2018), it is perhaps unsurprising that there has been a call for more work on PMI experiences, processes and practices (Angwin and Meadows, 2015).

PMI is the last stage in the three-cycle process of M&A (Angwin, 2007; Roberts et al., 2012) it is defined by Cording et al. (2008:744), as "the managerial actions taken to combine two previously separate firms" (Graebner et al., 2017). The processes of PMI are also commonly understood to include "task integration" and "human integration" (Graebner et al., 2017:2). Several factors play a role in poor performance and failure such as lack of human integration and cultural conflicts between merged entities (Kroon and Noorderhaven, 2018; Angwin, 2007).

Linking PMI and Organisational Resilience

PMI generates significant organisational uncertainty, ambiguity and employee stress. The effective management of these challenges could play a significant role in enabling improved PMI processes and outcomes. Therefore, it is notable that whilst PMI has been extensively studied (e.g., Angwin and Meadows, 2015; Kroon and Noorderhaven, 2018), little attention has been paid to the potential contribution(s) of organisational resilience to M&A success. Lengnick-Hall et al. (2011) argue that resilience capability enables organisations to effectively absorb uncertainty, and organisational resilience can be broadly understood as the ability to cope, or even flourish, despite challenge and adversity (Linnenluecke, 2017). Organisational resilience, therefore, offers a potentially novel and valuable lens through which to view PMI processes and practices because of the significant uncertainty, turbulence and ambiguity often created when combining two firms through M&A.

Uncertainty can be understood as a situation where the probability or consequences of a decision are unknown or unknowable (see, Alvarez et al., 2018). The Knightian (1921) view of uncertainty as 'unmeasurable probability' can however be understood in objective or subjective terms, because uncertainty can be framed as a subjective within-individual experience, or as an objective feature of structures and organising. It is challenging, therefore, to distinguish the effects of the complex, subjective and objective, experiences of uncertainty within the PMI phase. One interesting example of the subjective experience of uncertainty in the context of PMI relates to how employees experience their working context as extreme.

Whilst work exists about how employees draw upon resilience to help them to deal with the everyday realities of stretching and stressful job roles (e.g. see Branicki et al., 2016 for a review of this literature), much less is known about whether PMI is subjectively experienced – by employees – as an extreme or mundane event (Hallgren et al., 2018). In this paper we are therefore concerned with the subjective uncertainty as it is experienced by employees and effects their engagement with the business during post-merger integration.

Prior studies have examined employee resilience in the context of M&A activity – i.e. exploring how employees are affected by the uncertainty that M&A's generate (Cho et al., 2017; Khan et al., 2017). By contrast, this paper examines the link between resilience and PMI at the organisational level of analysis – i.e. exploring how resilience as an organisational attribute or characteristic relates to PMI processes and outcomes. The organisational level of analysis is selected because, to date, there has been limited research about how organisational and employee uncertainty effects PMI. This gap is significant because failure during the PMI phase is significant for both employees and the company. Failure to adequately plan for and manage PMI can create workplace stress for employees who may be anxious about restructuring, change and large-scale job losses. The impacts of failure can also reach far beyond the new entity, affecting local communities, related businesses and regional economic development. For example, Tata Corus's struggle to revive the company through their UK based M&A activity, has directly led to more than a thousand job losses (Farrell et al., 2015) and has indirectly led to employee uncertainty, regional economic stress and local social impacts.

In contrast to the large and developed literature on PMI, business and management research on resilience is at a comparatively early stage of development (Linnenluecke, 2017). A summary of key organisational resilience literature is included as Table 1. The organisational resilience literature examines the resources and capabilities that enable organisations and individual employees to overcome uncertainty (Branicki et al., 2016; Lengnick-Hall et al., 2011). Linnenluecke (2017) calls for greater attention in organisational resilience to be paid to mainstream business and management issues. Prior research studies and scholars have identified a lack of resilience research that examines everyday organisational resilience

(Branicki et al., 2016). Uncertainties are endemic within PMI processes; therefore, organisational resilience could provide a basis for new ways of thinking about and responding to PMI-related uncertainty. The significant increase of change and uncertainty in organisations and employees on a global level have generated greater interest in the practical aspects of resilience (Branicki et al., 2016; Kantur and Iseri-say, 2012); the question of "*What enables some of the organisations to successfully deal with and respond to the adversities and the unfamiliar situation*" (Linnenluecke, 2017; Vogus and Sutcliffe, 2007; Annarelli and Nonino, 2016) has given rise to the organisational resilience literature within the realm of the business and management context. The concept of resilience, however, relates to both the organisational and individual levels of analysis in the period of turbulence and discontinuity, this reflects the interaction within the systems and sub-systems (Lengnick-Hall et al., 2011; Van Der Vegt, 2015). Since the individual and organisational link is complex, HRM intervention has a key role that enables the promotion of organisational resilience (Branicki et al., 2016; Khan et al., 2017; Lengnick-Hall et al., 2011) through appropriate HRM policies and principles.

Table 1 about here

Research Gap and Conceptual Framework

Organisational resilience sheds light on how organisations can achieve desired outcomes continuously during adversity and uncertainty (Sutcliffe and Vogus, 2003). A gap persists in understanding the high levels of stress, anxiety and uncertainty associated with PMI might be better managed (Graebner et a, 2017). Developing organisational resilience theory in association with PMI will enable the creation of organisations that are resilient during PMI. In addition, scholars have called for further theory development to answer how organisations and their sub-systems can continue to perform better and attain outcomes during organisational chaos, uncertainty and change (Vogus and Sutcliffe, 2007). Given the nascency of this area of research, and the qualitative and exploratory nature of our study, our current focus is not to measure the effect of organisational resilience upon post-merger integration outcomes. Instead we aim to theoretically frame and empirically characterise the interplay between resilience and post-merger

integration as it unfolds in practice. We ask, *how does organisational resilience contribute to post-merger integration processes and outcomes?*

Given the lack of research on organisational resilience and PMI a synthetic conceptual framework was created to bridge these two literatures. We build upon a small, but growing, body of work (e.g. Cho et al., 2017; Khan et al., 2017) that relates post-merger integration and employee resilience. We seek to delineate resilience and post-merger integration factors by drawing upon the extant literature to build a synthetic conceptual framework. Whilst the resilience and PMI literatures are largely disconnected, they share some common concerns (i.e. anticipation, planning and adaptation) and some disparate themes (i.e. the role of rapidity and resource slack in achieving positive outcomes). Our conceptual framework is presented as Figure 1. It is worth noting that the framework does not depict negative or positive variables, but instead aims to synthetically combine two previously disparate literatures. This conceptual framework provides a set of useful – and theoretically informed – reference points to better understand the potential value of post-merger integration resilience by indicating, from the extant literature, factors that: (1) 'help' resilience; (2) 'help' post-merger integration; (3) 'hinder' resilience'; (4) 'hinder' post-merger integration. The dotted lines in the framework depict potential, or indirect, relationships (Ekinci, Reglat and Whyatt, 2011) between the identified concepts. This framework does not depict positive or negative variables, instead the framework represents overlapping – or adjacent - concepts that were identified in both literatures, such as, adaptation, planning and anticipation, rapidity and size and resources. The conceptual framework was used to guide empirical data collection and analysis.

Figure 1 About Here

RESEARCH METHODOLOGY AND DATA

Research approach and design

This study adopts a qualitative research methodology with an interpretivist approach. This approach will enable the researcher to better understand the relationship between organisational resilience and PMI from

the perspective of the individuals who have had direct experience with this phase of the M&A life cycle. Individuals are important social actors as the interactions of the systems and sub-systems of the organisations are run by them. Saunders et al. (2016) argues that business situations are not only complex but that they are also unique as they are connected to the circumstances and individuals, at a specific time and in each setting. The researcher was mindful about this approach and recognized that its strength is that it develops from the values, perspectives and experiences of participants (Hesse-Biber and Leavy, 2011), whilst noting that these experiences and interpretations may differ. It can be argued that other philosophical regimes (Bryman, 2016) may not allow the researcher to understand the unpredictable and uncertain nature of PMI and how resilient or not the organisation is without completely acknowledging these complex experiences and interpretations. For example, as discussed uncertainty can be understood to be a constructed, or relative, experience as opposed to an objective reality. Therefore, this approach and its assumptions enable the researcher to derive the knowledge required for this research.

This study had a two-phase research design. In phase one, documentary analysis was conducted on a sub-sample of relevant and high-quality publicly available online documents and mass media outputs (e.g., Government reports, company reports, news articles, editorials). In phase two, a series of semi-structured interviews were conducted with 12 senior managers from a merged global airline that was in the later stages of PMI. Each interview lasted between 30 and 60 minutes (see, Table 2 for summary).

Table 2 About Here

Empirical setting and purposive sampling

To maintain the anonymity of the organizations, pseudonyms are used, and the companies involved in the examined M&A are referred to as Super Airlines and Best Airways. The merger of Super Airlines and Best Airways has been selected for this research study because the new entity is in the later stages of PMI and is an example of an M&A that has experienced a range of challenges, especially, during its integration phase. It is not an example of a failed M&A case as PMI is on-going at the time that this research was conducted. This M&A occurred within the last decade, with a slow integration process and multiple

changes within the organization that impacted the systems and sub-systems. The airline company operates on approximately 180 routes, covering four continents; however, due to the M&A, many overlapping routes were combined. The financial performance of the company reports an estimated 3 billion USD in the 2016-17 fiscal year.

A purposive sampling technique with aspects of snowball sampling (Bryman, 2016; Hesse-Biber and Leavy, 2011) was used to identify twelve participants who held senior management roles. Based on the logic of qualitative research, the small sample size and semi-structured nature of the interviews allowed for an in-depth understanding of the topic. The participants were asked questions that directly or indirectly linked to organisational resilience and PMI. The semi-structured interview schedule was based upon our literature review and conceptual framework and included questions about 'how' organisational resilience factors (e.g. resource slack, improvisation) contributed to post-merger integration processes and outcomes. By seeking permission to record the interviews and by fully transcribing all the interview content, the researcher was able to thematically analyse both the documentary and interview data generated in the qualitative data analysis software NVivo.

Template analysis

Qualitative data analysis involves preparing and organizing the data for analysis and following a set procedure to reduce it into themes by coding and further reducing the codes (Creswell and Ploth, 2018). Whilst time consuming (Bryman, 2016), transcription is an essential part of the qualitative research process (Morris, 2015) because accurate transcripts generate high quality interview data that enables the researcher to analyse the words of participants. Whilst most interviews were audio-recorded with the participant's explicit consent, in three cases, due to commercial sensitivity, contemporaneous notes were taken as an alternative because audio-recording consent was not granted. All recorded interviews and contemporaneously taken notes were transcribed by the researcher, which allowed for deep knowledge of the data and its structure. The interview transcriptions were then imported into the qualitative software package NVivo for analysis. NVivo is a powerful qualitative data management tool (Saunders et al., 2016), and the software enabled the researcher to efficiently sort, code and categorize the transcripts.

An adapted version of template analysis was selected to analyse the interview data because, 'template analysis is a technique of doing thematic analysis that balances the process of analysing the textual data, with flexibility for a particular study" (King, 2012: 426). A template is a list of pre-generated codes that depicts key themes (Saunders et al., 2016), and in this case the initial version of the template was derived from the synthetic conceptual framework (See, Figure two) to identify theoretically informed pattern and themes in the data. However, the coding template was iteratively revised and updated as new emergent themes were discovered during the second-order coding cycle. Along with a coding template, a list of a priori themes, and their associated descriptions, was created from the extant literature to make sure that codes were applied accurately to the data segments. The key benefits of using template analysis were theoretical relevance and enhanced coding reliability (Symon and Cassell, 2012).

The process of coding to the template was conducted as follows. Using NVivo, pre-generated or emergent codes were assigned to each relevant portion of the interview transcript (Saldana, 2009). Following, Following Gioia et al. (2012) this process was conducted iteratively and involved the use of first-order, second-order and theoretical codes. In first-order coding, the coding template method was used to code the interview transcripts and themes, and sub-themes were assigned to the data. In the second order-coding cycle, themes were separated and combined to ensure parsimony, which was done by highlighting key elements of the data based on repetition, categories, similarities, and differences (Bryman, 2016: 586; Silverman, 2011: 274). Several codes were condensed at this stage, as they did not speak to unique themes (Creswell and Ploth, 2018). Finally, following Su et al. (2014) the first-order and second-order codes were combined by using a visual mapping technique to form theoretical themes. This theoretically informed approach to data collection and analysis forms the basis for the research study's originality and contributions.

FINDINGS AND DISCUSSIONS

Summary of Findings

A template analysis of the full dataset produced ten theoretically informed (i.e. templated) themes and five emergent themes. Themes included *commitment, communication, organisational culture,*

organisational autonomy, management styles, HRM intervention, resources, rapidity, planning and anticipation, adapting and adjusting. Emergent themes include insecurity, equity, negative coping, social capital and strategic flexibility. Data supporting these themes is summarized in Table 3. For the purpose of this short paper we give an example of one of our themes below.

Table 3 About Here

Employee and Organisational commitment

Commitment was identified as an important influencing factor on PMI processes and outcomes by participants. Commitment as a theme in the M&A literature focuses upon the commitment of employees and managers to the organization (Mottola, 1997). However, commitment is largely absent from the organizational resilience literature. It was found that most managers were highly committed to their original organization and to the newly merged entity. Commitment was experienced as a positive influencing factor for the integration of Super Airlines and Best Airways, as they had highly committed employees who, despite the integration, were committed to remain at the new airline. Senior managers stated,

> "99% have commitment towards the organization, and therefore, this commitment has never wavered, it has always been there; otherwise, why would we still be working here despite not getting salaries? Without commitment, you can't reach on top and the company also seeks for committed people". (P6)
>
> "Committed employees are self-motivated, and in order to grow themselves with their efficiency and commitment, the company also grows…But on the other side, there were employees who didn't agitate; they were committed employees who enabled the company to go forward." (P10)

From the employee perspective, the PMI process caused several negative changes in the organization, with many managers having to deal with pending issues of promotion, demotion and seniority. Despite this, the managers in the sample remained committed to the new company even when there was ambiguity as to the future of their, and their staffs, roles. This, in part, was demonstrated by a very low exit rate of managers from the company during PMI. Even managers who lost their posts and were demoted expressed sustained commitment, "though I was demoted after merger, I still serve this company with pride because I have

commitment of working from so many years" (P12). This level of support – and lack of agitation - is particularly surprising given that the employees, on average, were against the merger. One participant explained that this is because the managers consider the organization as their family, "that as companies we are two brothers, and together, we have to take our Super Airlines family ahead" (P 7). In contrast to high levels of employee commitment, participants believed that they had experienced low levels of organizational commitment and that this imbalance was problematic for PMI outcomes. Specific examples included receiving late salaries, dealing with human resource issues, and a lack of communication around the changes unfolding within the organization.

Following Gioia et al.'s (2012) data structuring technique, first-order indicators, second-order constructs and theoretical themes were identified from the data. The structure of the data is visualised as Figure 2.

Figure 2 About Here

Discussion

Based on these findings and by following the data structuring technique from (Gioia et al., 2013) an inductive theoretical model is presented as Figure 3 that depicts and describes the relationship between organisational resilience and PMI. The model includes four key influencing factors: *balanced commitment*, *developing new social capital*, *continuous adaptation* and *amalgamated resources*.

Figure 3 About here

This research study suggests that organisational resilience, either by its absence or presence, impacts PMI processes and outcomes. Additionally, findings indicated several ways in which organisational resilience is undermined during the PMI process (i.e. weak social connections, limited new social capital formation, a lack of redundant / slack resources). Therefore, it can be proposed that organisational resilience impacts the outcomes and processes of PMI and that PMI processes and outcomes impact organisational resilience.

Balanced commitment

The first influencing factor between organisational resilience and PMI is balanced commitment, which this research study suggests as a type of two-way commitment. First, employee's commitment towards their organisation, and second, the organisation's commitment towards its employees. The M&A literature describes organisational commitment from the employees as a bond felt towards their organisation (Mottola et al., 1997). This research suggests that commitment is as an important factor for creating organisational resilience. This is worth noting as very limited reference to commitment appears in the resilience field to date. A few studies highlight employee commitment to change as a psychological attachment to the organisation (Cho et al., 2017). Furthermore, commitment is identified as a positive factor that is required to perform better in times of substantial change, anxiety and uncertainty and reduces the rate of employee turnover when intrinsically they are committed towards the organisation.

Highly committed employees' have a strong desire for a 'two-way or reciprocal' commitment from their organisation and management, so organisations may need to acknowledge highly committed employees during the PMI process (Shrivastava, 1986:70; Khan et al., 2017). This research study suggests that an organisation's commitment to its employees cannot be enhanced with financial rewards alone, but rather by valuing and recognizing the employees to build 'connection'. Therefore, it can be proposed that a two-way commitment between both employees and the organisation will lead to organisational resilience.

Developing new social capital

Organisational resilience literature describes 'social capital' (Gitell et al., 2006) and 'relational reserves' (Lengnick-Hall et al., 2011) as the positive links between individuals that improve the outcomes for both employees and organisations. The M&A literature suggests that poor communication is one of the reasons for the failure of integration, because communication reduces potential uncertainty (Appelbaum et al., 2017a).

This research study suggests that firms should pro-actively consider ways of 'developing new social capital' in the context of PMI via forming 'new interpersonal relationships' between employees and

departments from the merged entities. Both formal and informal social connections are a crucial factor in creating resilience (Branicki et al., 2016). These respectful conversations could reduce 'psychological superiorities' between employees and departments and reduce the decision-making bias that arises during PMI. By combining perceived equality and collaborative spaces to work through positive interactions this should foster new social capital development. Therefore, it can be proposed that with effective and timely communication between the employees and departments of the merged entities, both on formal and informal levels, that new (deep) social capital development will positively affect the relationships between organisational resilience and PMI.

Continuous adaptation

This factor has two following key components: first, continuous planning and anticipation, and second, adapting and adjusting. The resilience literature highlights failure to anticipate and adjust as organisationally detrimental (Hamel and Valikangas, 2003). Anticipating allows avoiding potential dangers (Linnenluecke, 2017), and planning is key to generating organisational resilience (Vogus and Sutcliffe, 2007). PMI planning is usually done before the deal to predict the desired outcomes (Bauer et al., 2015; Schonreiter, 2016; Steingenberger, 2016). Systematic planning is acknowledged to improve overall PMI activity (Datta,1991).

Findings suggested that employees and organisations experienced rigidities in relation to adjustment and adaptation. According to the organisational resilience literature, this unwillingness and inability to change occurs since organisations are deeply rooted in their former experiences (Linnenluecke, 2017). A lack of cultural synchronization combined with resistance to change led to a lack of adaptation at all levels. According to Meyer (1982) positively adaption works through the adoption of new practices (Linnenluecke, 2017). The PMI literature highlights that adjusting to internal and external pressures is an important part of the reconfiguration of organisations during merger (Bodner and Capron, 2018). This research study suggests that 'continuous adaptation' is a key influencing factor on the relationship between PMI and organisational resilience.

Amalgamated resources

The organisational resilience literature argues that slack resources are fundamental to creating and sustaining resilience (Linnenluecke, 2017; Vogus and Sutcliffe, 2007). According to the M&A literature it can be argued that horizontal mergers are a means of facilitating resource transfer - complementary, excess or new resources – that plays out, primarily, during the PMI phase (Heleblian et al., 2009; Steinberger, 2018). However, restructuring leads to the divestment and recombination of resources. In this study, for example, more aircrafts, route rationalization and a large workforce leading to overstaffing, led to several key challenges. Perhaps ironically, whilst M&A activity often leads to the rationalization of resources excess resources are viewed as a basis for security in times of uncertainty (Kantur and Iseri-say, 2012). Gittell et al. (2006), in their study, suggest that financial and relational resources are crucial for organisational resilience. This research study recognizes the dilemmas pertaining to excess resources; it may not always be positive to have an oversupply of resources that stretch the new entities cost base; therefore, rationalizing and managing these resources in an 'amalgamated' way may lead to organisational resilience. Therefore, it can be proposed the relationship between organisational resilience and PMI is influenced by the organisation's approach to amalgamating resources, i.e. balancing the need for rationalization (for the purposes of PMI) and slack (for the purposes of organisational resilience).

Bundle of influencing factors

This study suggests that each of the influencing factors on its own affects the relationship between organisational resilience and PMI. If 'balanced commitment, developing new social capital, continuous adaptation and amalgamated resources' are combined as a bundle of influencing factors, it is anticipated that this will have a greater positive affect on the relationship between organisational resilience and PMI processes and outcomes. In part because the first two factors focus on the link between employees and organisation, the third factor focuses on the resource and capability link and the fourth on the relationship between strategy and structure. An organisation that undergoes M&A activity deals with people (i.e.

employees, stakeholders, customers), resources and capabilities, and strategic choices simultaneously. Therefore, this research study suggests that the influencing factors in combination will enable the organisation to better manage PMI processes and outcomes. Therefore, it can be proposed that since each influencing factor affects the relationship between organisational resilience and PMI, that the bundle of four influencing factors will lead to a greater magnitude of affect.

CONCLUSIONS

This paper contributes to theory through a novel inductive conceptualisation of post-merger integration resilience, and to practice through a set of empirically informed managerial implications. In doing so we make several contributions to the fields of organisational resilience and PMI. Considering a lack of prior theorisation and empirical examination of how organisational resilience contributes to PMI processes and outcomes we seek to clarify the conceptual terrain. First, we contribute to the conceptualization of post-merger integration resilience synthetically by drawing upon two largely disparate and fragmented literatures - resilience and post-merger integration – to build a conceptual framework (see, Figure 1). Second, we empirically examine how employees from a global airline company experienced the process of PMI. In analyzing our data, we identified that employees drew upon organisational resilience resources, such as anticipation and adaptive capabilities, to help them to reconcile and navigate the uncertainties that they experienced during post-merger integration. Additionally, we identified that post-merger integration processes de-railed organizational resilience in several ways. For example, consolidation efforts led to the loss of resource slack which in turn hindered efforts to respond to small crises and failures as they unfolded during the PMI process. From these findings we develop an inductive theoretical model which indicates four factors – anticipation and planning, adaptation, rapidity and resource that may influence the relationships between organisational resilience and PMI processes and outcomes. Third, the findings of our research suggest a set of managerial implications that could further support businesses in navigating the uncertainty and challenges inherent in PMI: (1) pro-actively sustaining high employee commitment through a reciprocal strategy of high organisational commitment to employees involving both

financial and cultural forms of recognition; (2) pro-actively building new social capital across departments and between employees from both former entities so as to generate relational resource; (3) by building capability at the employee and organisational level for continuous adaptation in light of learning from what does and doesn't work for the new merged entity from a basis of multi-directional communication and cross-departmental involvement / consultation; (4) have an amalgamated approach to resources that recognizes the difficult balance between the needs for rationalization (as an M&A value creation strategy) and redundancy (as a generator of organisational resilience) during the PMI process.

Whilst the findings presented in this paper are limited by the generalizability of the small sample size and single organisation examined, they have potential value for both the resilience and M&A literatures and can be used to frame future research. The purpose of this study was not to generalize but to bridge the gap between fields by creating deep understanding of the topic. Due to the exploratory, relatively, small-scale nature of this study it was difficult to fully disentangle processes and outcomes in the analysis of the data collected and therefore in the resulting theorisation. Future research will look at the outcomes and processes of PMI separately. Whilst a multi-level analysis – connecting employee, department and organisation – was outside the remit of this study, findings indicated that this would be a useful future avenue for research. Though the focus of the inductive model is at the organisational level of analysis, it could be further extended to enable employee and multi-level of analysis to be considered.

By considering the relationship between organisational resilience and PMI this paper aims to contribute to a better understanding of how to improve the chances of M&A success. As this study shows the processes and outcomes of PMI are about more than the bottom line, as they involve highly committed employees who are, sometimes, struggling to find their place in the shifting organisational sands of the merged entity. This paper finds that organisational resilience is likely to have a positive effect on PMI processes and outcomes, when the organisation balances commitment between employees and organisation, pro-actively developing new routes to social capital, continuously adapts to feedback, and recognizes the operational and strategic implications of how it amalgamates resources.

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Figure 1.
Synthetic Conceptual Framework

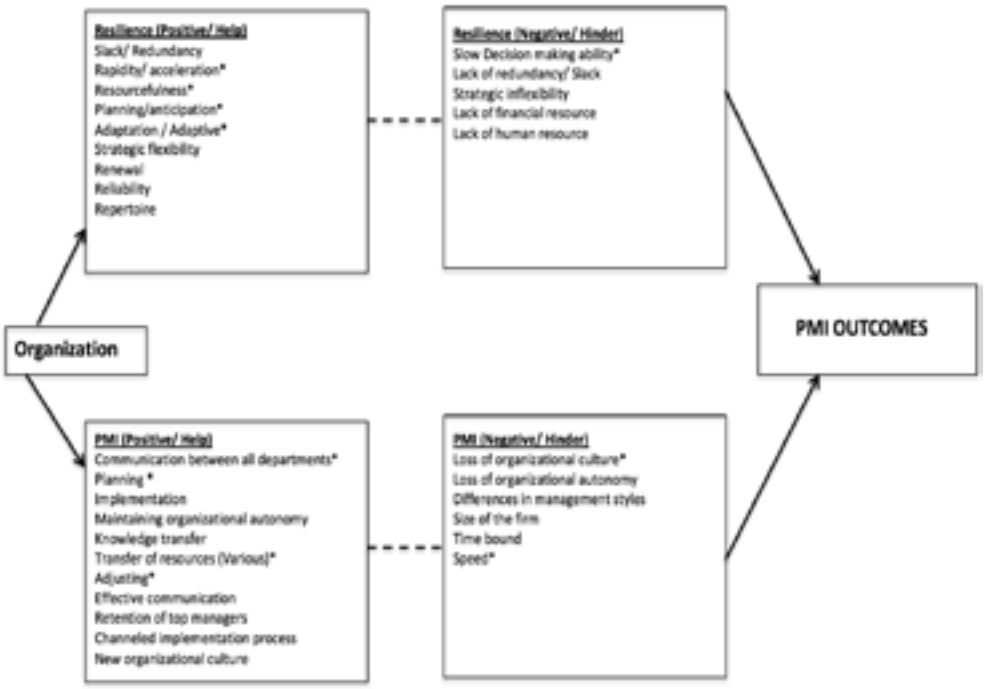

Figure 2.
Summary of Data Structure

Figure 3.
Inductive Theoretical Model

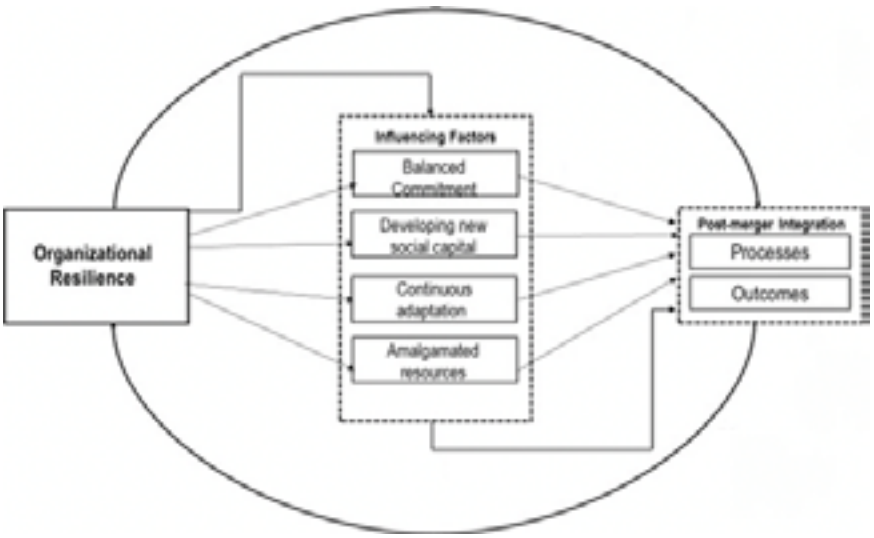

Table 1.
Summary of Organisational Resilience Literature

Paper / Article	Focus of investigation	Definition	Theory Development
Burnard and Bhamra (2011)	The paper theoretically investigates on detecting response of organisations during disruptive events.	Within organisations, resilience lies for both individual and organisational approaches to overcome turbulence and disruptions, by capability to adapt (Starr et al, 2003; Crinchton et al, 2009). Pg- 5583.	The authors argue to theoretically build upon various resilience literatures in order to present workable definition for organisational resilience. The authors present a conceptual framework that unpacks and highlights: variables, factors and constructs for organisations to respond back to major disruptions.
Kantur and Iseri-say (2012)	This paper investigates and reviews literatures to lay foundations for organisational resilience and its future avenues.	(A). "Capacity to cope during unexpected issues after they have become manifest and learning to bounce back" (Wildavsky, 1991: 77). (B). "Capacity to adjust and adapt to during unexpected shocks and disruptions" (Tierney,2003). Pg-763. (C). "Positive attitude to bounce back and build individual and organisational stamina without getting influenced by a situation or a point of stagnation during a stressful situation or series of situations" Pg-765.	The authors present a framework based on review of literatures and highlight four categories to enhance resilience in the organisation. (1) perceptual stance (positive perceptions, wisdom and commitment), (2) contextual integrity (employee involvement, supportive environment and interactions), (3) strategic capacity (availability of resources, employee capability and overall focused strategy), (4) strategic acting (enhanced by- creativity, proactivity and ability to stretch).
Lengnick-Hall et al (2011)	This paper examines, that organisations capacity for resilience can be developed by managing the human resources strategically for core competency among employees.	(A). "Ability to bounce back from unexpected, stressful situations and begin from where previously left" (Balu, 2001; Dutton et al, 2002; Gittell et al, 2006). (B). More than mere restoration- organizational resilience is "Development of new capabilities and creating new opportunities". (C)"The ability of a firm to effectively absorb, develop responses, and engage in transformational activities to capitalize unseen disruptions that threaten organizations survival" (Coutu,2002; Freeman et al., 2004; Hamel and Valiknagas, 2003; Lengnick-hall and Beck, 2005).	Authors argue strategic HRM policies and practices influence individual and organizational capability in order to develop capacity for resilience.
Linnenluecke, M.K. (2017)	This paper investigates resilience in business and management context by developing upon and identifying gaps.	(A). Organisational level of term resilience "response more quickly, recover faster and develop more unusual ways of doing business under duress than others" (Sutcliffe and Vogus, 2003; Vogus and Sutcliffe, 2007). (B). Employee level "ability to bounce back, and even succeed in the face of problems or adversities" (Luthans et al, 2010; Shin et	This paper argues development of resilience literature under 5 lines 1) response of organisations to external threats 2) reliability of organisations, 3) strength of employees, 4) adaptability of business model, 5) design principles to reduce supply chain vulnerabilities.

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		al, 2012) (C). Rigidity or organizations inability and unwillingness to change due to deeply embedded culture (Davies and Thomas, 2003).	
Gittell et al (2006)	Investigation shows how some airline organisations were able to be successful post 9/11 period and during stressful periods by being resilient.	(A). Resiliency for daily is referred as capability to "absorb, maintain, coherence and strain" (Oxford English Dictionary), (B). in reference to (Weick, et al, 1999 & Worline et al, 2004) positive adjustment. (C) (Sutcliffe & Vogus, 2003) ability to bounce back, (D). (Admondson, 1999 & Bunderson & Sutcliffe, 2002) maintain desirable functions and outcomes, (E). Resilience as dynamic capability for organizational adaptability continuously (Wildavsky, 1988). And positive coping strategy (Sutcliffe and Vogus, 2003).	This paper argues that with slack resources such as financial and social capital (social relationships), were key enablers for quick recovery of the airline organisation.
Hamel and Valikangas (2003)	Why resilience matters and how can organisations enhance their resilience – 'strategic resilience'.	The ability of organisation to re-strategize their business model to attain change by continuous adapting and continuous anticipating.	The authors of this paper capture strategic resilience for building upon organisational resilience by mastering: (1) denial conquering (accept the reality of change), (2) Variety valuing (resilience depends on variety and experimentation) , (3) Liberate resources, (4) Paradox embracement (exploring new strategic options).
Sutcliffe and Vogus (2003)	Organising for resilience investigates - how the organisations must adapt change, keep planning continually during the stressful period.	Positive adjustment during stressful conditions.	This paper argues that during stressful and adverse issues the organizations sees resilience as positive adaptability and adjustment and focus on utilizing and redeploying slack resources.
Branicki et al (2016)	This paper investigates and draws relationships between individual and organizational resilience by unique model- that captures resilience in daily stressors (business as usual) and resilience as extreme event (global crisis, epidemic disease, terrorism). The model allows to understand the development of organizational resilience in face of day to day and extreme event stressors. This paper furthermore highlights HRM intervention as positive influencer for both individual and organizational resilience.	(A). "Ability to adapt, endure and bounce back" (Markman & Venzin, 2014). Pg-1261 (B). "Continuous adjusting and anticipating" (Hamel and Valikangas). Pg-1266.	The authors of this paper argue current literature has fragmented connection between organisational and individual resilience. Two-dimensional framework allows to organise the literature under: (1) daily individual resilience, (2) daily organizational resilience, (3) extreme individual resilience. (4) extreme organizational resilience.
Cho et al (2017)	This paper investigates the impacts of psychological resilience upon the employee commitment during the M&A changes and uncertainty.	(A). Psychological resilience as an individual resource to overcome difficult situations (Shin et al., 2012). (B). Psychological resilience reflects as positive individual capability to adapt to organizational changes,	The authors of this papers shed light on the factors that increase employee commitment to change during M&A and identifies the process that commit to change by theoretically linking- commitment to

		uncertainty and failure by overcoming stress (Gu and Day, 2007). Further enables coping.	organisational change, psychological contract, organisational justice as a resource, psychological resilience in employees.
Khan et al (2017)	One of the few papers that examines link between post-merger integration and resilience literature, by the lens of rewards and fairness norms.	Employee emotional resilience is defined as "ability of the employees from merging entities to bounce back from adversity and cope with uncertainty" (Cooper et al, 2013; Lengnick-Hall et al., 2011).	The authors of this paper argue for a successful post-merger integration, it is important to consider employee emotional resilience that is further dependent on the rewards systems (e.g. financial and non-financial rewards), fairness norms in cross boundary mergers. The authors further argue HRM practices to be key influencers for employee emotional resilience and improving organisational performance.

Table 2.
Sample of Interview Participants

Participant ref.	Participant role	Duration (Minutes)
P1	Executive Manager	40:10 Minutes
P2	Senior Manager	36:10 Minutes
P3	Executive Manager	41:17 Minutes
P4	Senior Executive Manager	38:10 Minutes
P5	Senior Manager	30:03 Minutes
P6 (not recorded)	Senior Manager	55:00 Minutes
P7	Senior Manager	37:16 Minutes
P8	Senior Manager	09:07 Minutes
P9	Senior Manager	24:17 Minutes
P10 (not recorded)	Executive Manager	20:00 Minutes
P11 (not recorded)	Senior Executive Manager	15:00 Minutes
P12	Senior Manager	32:10 Minutes

Table 3.
Summary of Key Findings

Themes	Post-Merger Integration	Organisational Resilience	Quotes/ Examples
Commitment	Employees highly committed Employees demanded commitment from organisation	Link employee commitment and resilience (emergent theme)	*"Committed employees are self - motivated and in order to grow themselves with their efficiency and commitment the company also grows…But on the other side there were employees who didn't agitate they were committed employees who enabled the company to go forward." (P10)*
Communication	"Communication gap" (ineffective and hesitant)	-	*"Every department is running separately despite so many notices, policies formed but to date it's an M&A of two companies and those two are still working differently with minimal communication and hesitation". (P4)*
Organisational culture	Reluctance to change culture Lack of acceptance of culture	-	*"Organisational culture has affected because even after merger and integration and all these things, people are following their old ways, which is causing an acceptance problem to follow and get into new culture." (P12)*
Organisational Autonomy	Loss of identity of both companies Loss of autonomy	-	*"But after merger logo also changed and caused a loss of identity for employees of both the companies they may be under one big name but I can say one big name and two companies running under it." (P12)*
Management styles	Differences management styles Unclear aims and objectives	-	*"Each one has covered his own view like previous one, he had empathy and he was oriented towards the employees. But now present CMD is very much objective oriented, rather than employee oriented". (P3)*
HRM Intervention	Minimal HRM intervention High HR variation between departments	Lack of positive interventions	*"HRM department was not at all supportive, they are supposed to be there for the employees and the organisation, but here they were saving their department in midst of both the companies going into chaos they took care of themselves..." (P9)*
Resources	Excess workforce (mixed implications) Wider network positive	Lack financial slack Excess workforce	*"We have more aircrafts, use routes rationalization… now we can say we got more resources." (P5)* *"So, there was no additional financial resources that we got by merging with this company…" (P4)*

Rapidity	Integration process was slow, took longer than expected	Slow processes, recovery / response	*"The cultures didn't meet anywhere; the synchronization took a long time and differences kept arising". (P6)*
Planning and Anticipation	"Planning on paper"	Lack of anticipation overall	*"…Company will have so much profit, after so many years, due to the post-merger benefits, but from the day merger took place everything has been going downwards only." (P5)* *"I do not think they anticipated such severe issues". (P3)*
Adapting and Adjusting	Policies were adapted, but this led to uncertainty	Negative adapting lead to rigidity	*"So even when they combined several policies, they should have adopted better ones…it's a mixture of everything new, old, other company's and ours". (P12)*
Emergent themes			
Insecurity (E)	Employees feared of losing job due to passing negative statements	Rivalry / conflict between members	*"There is policy where we separated dispatch offices because it was feared that conflicts can start in office so there are two dispatch offices or operations department one." (P7)*
Equity (E)	Subjective and objective experiences of inequity by the acquired firm's employees	Employee psychological superiority (acquirer employees)	*"People from the Best Airways declared, they felt they are being deprived of many things in contrast with the other party". (P3)*
Negative coping	-	Negative situation, no initiative taken to overcome issues	*"Everyone, all the managers, senior managers, employees everyone accepted the fact that, is to live with the merger. Both of us. Best Airways and Super Airlines, both companies accepted and in order to go ahead with this decision like to bounce from a set- back or crisis, the only way was to go ahead with accepting the merger and acquisition". (P6)*
Social Capital	-	No new / deep social capital Negative / silo interactions	*"Unions were also not consulted per department, It was discrimination since the counterpart Best Airways was consulted but we were just asked to follow". (P6)*
Strategic flexibility	-	Lack of strategic flexibility Inefficiency - higher authorities	"*Making company a good company was not the motive at that time, it was much of a hubris for some high-level management people that I won't name and talk about". (P4)*

05. Human Resource Management

Refereed Delivered Session

"Judging the judges": Exploration of job demands and burnout in the Sri Lankan Judiciary

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Abstract: *The aim of this study is to identify how judicial officers in Sri Lanka experience work stress and its consequences. A case study approach was adopted, and qualitative data was collected by conducting fifty-four In-depth semi structured interviews. It was found that judicial overload, political influences, social isolation and interpersonal conflicts between lawyers and judges make judicial environment taxing to judges in Sri Lanka. Consequently, judges are suffering from depressive and anxiety disorders in terms of psychological costs of job demands and hypertension, insomnia, gastritis and diabetes in terms of physiological costs of job demands. The findings imply that greater understanding of work stress might be gained by investigating occupation specific job demands. It is expected that the findings of the paper will provide useful information for both practitioners and academics to better understand the judicial working environment and to formulate intervention strategies to alleviate problematic sources of stress.*

Key words: Job demands, burnout, judicial officers

5. Human Resource Management

Refereed Delivered Session

INTRODUCTION

This conference paper examines the work stressors and consequences of stress including mental and physical health problems of judicial officers in Sri Lanka.

Sri Lankan judges perform their duties under immense stress generated by sources such as political influence, unmanageable workloads and a lack of transparency in promotion procedures, which make them susceptible to higher levels of job-related stress. The role of a judge has a substantial societal impact and it is important that researchers understand the potential sources of stress and its consequences on the judicial occupation to ensure that justice is delivered in an effective and rational manner. The adoption of job demands-resource framework is useful for understanding the stressors experienced by judges in Sri Lanka in a systematic and theoretical manner. This study explores how judicial officers experience job stress and also seeks to contribute to job demands-resource theory.

Job strain (burnout) arises where various types of work demands exceed the person's capacity and capability to cope. Job demands and burnout has been researched among various occupational groups such as teachers, prison officers, health care professionals, managerial level employees, call centre employees and blue-collar employees (Bakker and Bal, 2010; Bakker, Hakanen, Demerouti, Xanthopoulou, 2007; Lorente,Salanova, Martínez and Schaufeli, 2008;). However, job demands, and burnout remain under researched theoretically and empirically and has not been applied to either judicial officers or an Asian country context such as Sri Lanka. This study explores how judicial officers in Sri Lanka experience job demands and burnout.

Judicial officers belong to a professional category that is highly exposed and vulnerable to occupational stress (Roach and Mack, 2014). The stress levels that judges incur can also negatively affect the way they handle evidence and make decisions. Eventually, it could lead to injustices for the parties involved, which has important implications for the integrity of the entire justice system (Chamberlain, Jared and Miller, 2009). most of the job stress studies have focused on isolated factors such as violence, safety concerns and social isolation (Zimmerman, 2000; Chan, 2010; Chamberlain et

al, 2009). An application of job demands, and resource theory would assist in understanding the effects of these potential sources of stress on judges in a systematic and theoretical manner.

The majority of job demands and burn out studies have been conducted in western contexts and few studies have focused on judges in Asian context. This study encompasses a context-specific contribution to the job demands and job stress literature by conducting the study in an Asian country (Sri Lanka). This study explores how job demands and burn out are experienced by judicial officers in Sri Lanka. The paper structured as follows; The first section provides a literature review of job demands-job resources theory, second provides the context and methodology for the study third and fourth reviews empirical findings and fifth section provides a discussion and conclusion.

JOB DEMANDS AND BURN OUT LITERATURE

The job demands and job resource concept was developed in response to the inadequacies of previous research frameworks which were considered too simplistic (Bakker and Demerouti, 2007). The JD-R model originates from the demand-control-model (DCM; by Karasek in 1979) and the effort-reward imbalance model (ERI; by Siefrist in 1996). The underpinning assumption of both the DCM and the ERI model is that when certain job resources are absent (job control in the DCM and salary, esteem, rewards, career opportunities in the ERI) job demands can lead to job strain and to burnout in the more extreme cases. The both models were conceptually criticised due to its simplicity and inability to capture the complexity of work environments. This failure has instituted the starting point of the job demands and resources model. JD-R model contains the assumption that whereas every job may have its own risk factors associated with job stress and these factors can be categorised into job demands and job resources (Bakker and Demerouti, 2007). Accordingly, researchers sought to establish an all-encompassing model that may be applied to various occupational settings.

Job demands are physical, psychological and social aspects of the job that require sustained physical and/or psychological efforts. For example, work pressure, emotionally demanding client interactions. Therefore, job demands are associated with certain psychological costs (depression, anxiety, nervousness, burnout) and physiological costs (high blood pressure, heart disease, insomnia)

(Bakker and Demerouti, 2016). Job resources refer to physical, psychological and social factors of the job which enable goal attainment and foster personal growth. It consists of social support, opportunities for professional development, performance feedback etc (Bakker and Demerouti, 2016). For the purpose of this paper, focus is on job demands and job burnout.

The justice system asks judges to deliver justice for affected parties through the cases that they decide. However, as individuals who play a significant role in determining the fate of others, judges may expose to various job demands that can have negative consequences for both the individual and the justice system as a whole. Studies have revealed that judges are experiencing higher level of stress during a trial (Chamberline et al, 2009). Judges can experience job strain from numerous stressors such as extensive workloads, traumatic cases, pressure of making significant decisions and safety concerns. Researchers have also found that as a corollary of violence, judges may feel further pressure to make judgements that are not inflammatory, given that a wrong decision might result in violence against them or their family (Chamberlain, Jared and Miller, 2009; Flores, Miller, Chamberlain, Richardson, and Bornstein, 2009). The extant research suggests that these various sources of stress contributing to judicial stress may be an emerging problem and identifying types and sources of judicial stress is significantly important to understand work-related stress coherently.

Researchers have classified job demands into physical, psychological and social aspect. Firstly, the physical aspect of job demands explains the features of the job that can have direct impact on employee tasks. These physical elements include task duration and frequency, intensity of the labour during the task and the instruments used in a task. Secondly, the psychological aspect of job demands explores the degree to which a job requires employees to comply with organizational desired emotions, feelings, attitudes and behaviours (Buchs, 2012). Thirdly, the social aspect of job demands involves the tensions that employees experience in their working relationships with others in the organisation. Exposure to emotionally demanding work relationship can also cause employee stress and anxiety and high levels of interpersonal conflicts in the workplace represent a root cause of job stress (Giebels and Janssen, 2005).

Job demands and resources model postulates that excessive job demands is likely to leading to job burnout. Burnout can be defined as a prolonged response to chronic, emotional and interpersonal stressors (Maslach, Schaufeli, and Leiter, 2001). Job burnout is evident in several ways (Maslach, Schaufeli, and Leiter, 2001). Emotional exhaustion refers to feelings of being overextended and exhausted by the emotional demands of one's work (Maslach, Schaufeli, and Leiter, 2001). Depersonalisation is another feature which involves maintaining a distance between the worker and the customer by maintaining a negative attitude towards co-workers and service recipients (Adil and Baig, 2018; Wickramasinghe, 2010) Yet another aspect of burnout is diminished personal accomplishment which explains employees perceiving a lack of personal and job competence and an inability to attain their work goals (Adil and Baig, 2018). Consequently, job burn out results in physical health problems such as high blood pressure, intestinal problems, insomnia and psychological health issues such as depression and anxiety.

Judiciary has been identified as a sector affected by work stress and at a risk of burnout or trauma from having to constantly deal with high workloads and harrowing details of crimes (Chamberlain and Miller, 2008). Burn out may result from workplace conflict, overload of responsibilities and perception of inequity (Maslach, Schaufeli, and Leiter, 2001). Previous research has found that long working hours, making quick decisions based on limited evidence and violence against judges result in them experiencing job strain (Chamberlain, Jared and Miller, 2009). Judges may routinely be expected to make quick decisions such as deciding a case sometimes based on limited evidence may have detrimental effects on their mental wellbeing. Workplace conflict is also a common aspect in the judiciary. As discussed, interactions with lawyers, state counsels, court staff may lead judges experiencing burnout. Long working hours, intense emotional investment with unequal rewards may generate inequity perceptions among judges (Chamberline and Miller,2008). Therefore, all of the factors suggest that judges are highly vulnerable to job burn out and the physical and psychological consequences of burnout.

The majority of studies has focused on isolated factors of judicial stress. Also causes and consequences of judicial stress has not been extensively studied. Therefore, the qualitative nature of

this study enables to discover potential sources of judicial stress and effects of burnout which might have gone unnoticed to previous studies. Furthermore, there is an absence of systematic studies which identify job demands and burnout experienced by specific professional groups (Schaufeli and Taris, 2014; Kim and Wang, 2018). In this case judicial officers. Schaufeli and Taris (2014) have suggested that instead of developing a laundry list of job demands, future research should shed light on the job demands of different occupations to develop the job demands literature. Great deal of research has been conducted that appears to have validity in many Western context, but little attention is given to Asian context. Therefore, this study focuses on the job demands and burnout of judicial officers in Sri Lanka.

CONTEXT

Judges from many judicial systems experience numerous stressors. Work overload is one of the widely discussed stressor in the judicial context. Increased caseload, poor caseload management techniques, non-case related activities such as administration, training, reporting, meetings with court staff and clerks have been identified as contributors to the judicial stress around the world (Lienhard and Kettiger, 2015; Guidero and Tallarico, 2019; Shnoor and Katvan, 2017). It has been also found that judges do not have sufficient time to perform their duties for their satisfaction due to the increasing pressure of workload (Iowa Judicial Officer Workload Assessment Study, 2017). Schrever (2018) claimed that Judges participated in Australia's first empirical research on judicial stress have described workload as punishing", "horrendous" and "overwhelming" and nobody spoke of the workload as sustainable or appropriate. Judge may experience stress due to the public expectation towards the behaviour of judge (Kirby, 2014). For example, judge is always expected to act in a way that is "unobtrusive and acceptable" (Kirby, 2014). Because public perception of a judge is of someone of high status who is expected to maintain a particular demeanour (Oldfather, 2007). Therefore, Judicial officers strive to live up to these public expectations in terms of their attire and behaviour even outside the courthouse. They have to be vigilant and maintain an appropriate distance and behaviour at social and bar gatherings which can exacerbate their job stress (Hagen and Bogaerts, 2014).

The Sri Lankan judiciary has been significantly affected by lack of judicial independence. The unfair removal of the Chief justice in 2014 and violence against the judges and lawyers who spoke out

against her impeachment explains the severity of the perilous state of Sri Lanka's judiciary. Constitutional loopholes such as increased power of the President to nominate judges to higher courts and the Chief justice, hindering the ability of courts ability to serve as an effective check on the executive power further jeopardised the judicial independence in Sri Lanka. Manipulation of judicial appointment to punish disfavoured judges and to promote political allies, politicization of attorney general's department with appointment of junior members to higher courts have further contributed to the degradation of independence of judiciary in Sri Lanka (Abeyratne, 2015; International Bar Association's Human Rights Institute, 2012).

Sri Lanka's judicial structure consists of a Supreme court, Court of Appeal and Provincial High courts and courts of first instance (District and Magistrate courts). Judicial independence has been compromised by political interference in Sri Lanka for a number of decades (International Bar Association's Human Rights Institute, 2012). Judicial Independence involves separating the judiciary from political and public influences (Popova, 2010). However, the independence and impartiality of the Sri Lankas' judiciary has been questioned over recent decades due to above mentioned reasons. Given the present context, it is evident that the working environment of judicial officers in Sri Lanka is extremely taxing. Thus, the Sri Lankan context, presents both an interesting and understudied topic for exploration of job demands and burnout.

METHODOLOGY

A case study approach was adopted to answer the research question of how might job demands give rise to job burnout for judges in Sri Lanka? Qualitative data was collected by conducting 54 in-depth, semi-structured, face to face interviews with judicial officers in Sri Lanka. Interviews were conducted with 31 female and 23 male judicial officers with work experience ranging from 8 years to 35 years in the judiciary and. Majority of the participants were career judges and some were joined from the attorney general's department. Open ended questions such as "how busy is your working day?", do you experience stress from external sources?", how would you describe the emotional experience of your work?" were asked. Interviews lasted between one hour to three hours. Questions were derived from job demands, burnout and stress literature to identify their potential sources of stress and

consequences on judges. The participants were from the Magistrate courts, District courts, High courts, Court of Appeal and Supreme court. Access to the judiciary in Sri Lanka was provided by the memorandum of understanding signed between Postgraduate Institute of Management in Sri Lanka and Ministry of Education with the motive of broadening research access to the public service.

The thematic approach (six step process) introduced by Clarke and Braun (2013) was used to capture themes within coded data. Listening to digitally recorded interviews and transcription of interviews in NVivo enabled the researcher to become familiar with the data. Secondly, the researcher coded each segment of data that was relevant to or captured something interesting regarding how judicial officers experienced job demands and job burn out. Thirdly, the researcher examined the codes and some of them clearly fitted together into a theme. For example, there were some overlapping codes under workload and other stressors. Researcher collated these into an initial theme called the judicial overload. Researcher ended this phase by organising the codes into broader themes that seemed to explain something specific about the research question. In the fourth step researcher ensured that themes describe a compelling story about the data. Some themes were identified as less supportive to explain a coherent story. For example, pressure from the media and public did not emerge as strong themes. They were collated these into the theme of social isolation. In the fifth step, the researcher aimed to write a detailed analysis of each theme. Finally, researcher focused on building a conversation between the findings and the extant literature on job demands (Clarke and Braun, 2013).

EMPIRICAL FINDINGS

The job demands experienced by judicial officers in Sri Lanka included physical, psychological and social demands.

Job demands and Physical Aspect

Judicial overload

Judicial overload was a common issue experienced by judicial officers in Sri Lanka. Forty six out of fifty-four judicial officers mentioned that work overload is a major stressor. There is a wide array of duties such as handling administration duties in the courts, reviewing administrative duties, writing

judgements and orders, writing reports to ministry about the court work on weekly and monthly basis. Writing judgements is one of the crucial responsibilities of a judge. Judge should have a conducive environment to write judgements. But with the increasing workloads judges have raised concerns of not having time during the working hours to write judgements. Furthermore, mental exhaustion they experience after presiding the bench for longer hours also hinder the ability of writing judgements. A participant stated:

> *"I preside till 4.00pm, after I get down from the bench, we are bombarded with administration work. we have heaps of documents to review and sign (approve). After we go home only, I start working on judgements. It goes on till 1.00 or 2.00 am. When I start writing judgement need to finish it at a stretch. Very difficult to write judgements after-bench hours. It is strenuous" ...* (High court judge, 28 years).

Court administration aggravates the stress created by workload. High court judges have relatively higher amount of court administration activities. For example, High court judge of a particular province is responsible for the court administration activities of the entire province and financial management activities of his or her court which intensify their work stress. One judicial officer mentioned:

> *"It is exhausting to handle and overlook administration activities with the workload we have here…".* (High court judge, 25 years).

A backlog of unheard cases was another contributing factor for judicial work overload. Judges mentioned that some partition (land matters) and murder cases are 15-25 years old. Excessive workload leads to a difficult working pace and officers taking short breaks or none. Judicial officers mentioned that they think many times before even taking a medical leave as it leads to accumulation of work. Moreover, they mentioned that tight schedules in courts refrain them from having daily breaks as well. A participant stated:

> *"According to new circulars we should stay on the bench from 9.30am to 4.00pm so we have only 30minutes of a lunch break".* (High court judge, 17 years).

Judicial officers also revealed that unrealistic targets such as newly imposed rule of the number of judgements completed within a year and increased bench time aggravates work pressure. A participant noted:

> *"Completion of forty-five judgements (High court) per year is very stressful and that affects increments. That is very unfair. With the workload in our court system it is difficult to accomplish these impractical targets".* (High court judge, 31 years).

In addition, the shortage of staff in Sri Lanka's courts constrains the effective functioning of court's procedures. A shortage of qualified stenographers was a main issue highlighted by judicial officers which in turn contributing to excessive workload. It has been clearly identified that work overload is a major stressor that judicial officers experience. This can be intensified when their work and decisions are influenced by the power's of executive and the legislature. The next section discusses the political influences experienced by judges in Sri Lanka.

Job demands and Psychological Aspect

Political influence

Political influences on the judiciary are subtle and difficult phenomenon to detect. Political pressure on judicial decisions undermines judicial independence and the sovereignty of the law (Abeyratne, 2015). Furthermore, these influences may hinder the ability of judicial officers to exercise their professional duties freely (Abeyratne, 2015; Robertson, 2014).

The degradation of the independence and impartiality of the Sri Lankan judiciary as a result of pressure from successive governments has been a widely discussed topic in Sri Lanka and internationally n. Issues such as politicization of the appointment process for the superior judiciary, the politicization of the Attorney-General's office over recent years, the unfair removal of a former Chief Justice from office have been highlighted in international platforms (International Bar Association, 2009; International Commission of Jurists, 2012; International Bar Association's Human Rights Institute, 2012). Judges have revealed that politicians and higher government officials routinely attempt to influence judicial decisions. A judicial officer stated:

> *"Presidents' secretary wanted to know the final judgement of one of the cases. That case is one of his relatives'. He wanted to discuss the final decision with me…"* (High court judge, 27 years).

Judges can expect retribution when they do not acquiesce to the requests of politicians and high-ranking officials. If they refused the orders and requests of politicians, they expect to experience sudden transfers, often to rural areas, or the withholding of promotions. A participant mentioned:

> *"Once when I did not entertain a request of a politician, I was transferred to another station without informing me, but it was the headline of one of the leading newspapers"* (Magistrate, 12 years).

Thirty nine out of fifty-four judges mentioned that they have experienced political interferences during their tenure. Many criminal court judges stated that they were more susceptible to political influences. In order to keep themselves from these external influences judicial officers may become socially isolated. The next section explains the nature of social isolation experienced by judicial officers.

Social isolation

Social isolation has been identified as a major problem faced by judicial officers (Zimmerman, 2000). When judges are under public scrutiny they are being observed and studied carefully. Their private life is also coming under the media scrutiny which creates pressure. Media interest in the work of judiciary and judges' places under the spotlight on many occasions (Lee, 2015). Therefore, Judges must maintain a certain demeanour. A participant stated:

> *"I feel I am always on guard and watched. We have to be very careful about what we talk, behave, wear. People make judgements about the entire judiciary based on our behaviour. I had to give up on my friendships specially with lawyers, some relatives are angry for not attending their family gatherings"* (District court judge, 14 years).

Health risks are associated with having a limited social network. Infrequent contact with network members and a lack of social network diversity, low participation in social activities, particularly volunteering and religious attendance represented threats to mental health well-being (Belmeker & Agam, 2016). When individuals limit their social interactions, they are susceptible to mental stress. Judicial isolation is an inherent part of the role, judges must play in society. It can seriously diminish a judge's intellectual and social abilities (Zimmerman, 2000). A judge stated:

> *"It is very stressful sometimes to keep yourself away from the things you like to do. But we have no option. I would like to actively participate in social activities and religious activities, but we can't attend those public gatherings in our jurisdictions"* (Supreme court judge, 34 years).

The social isolation experienced by female judicial officers was distinguishable from that of male judicial officers. Female judicial officers were found it difficult to find a partner or get married after they joined the judiciary. Consequently, they experienced relatively higher social isolation. A judicial officer mentioned:

> *"It is difficult to get married after joining the judiciary, men think that we would rule them like we do in courts and run a petticoat government at home"* (Magistrate, 9 years).

In many Asian cultures a women's career was considered to be subservient to that of males. Women who engaged in professions such as the military or legal profession were considered powerful and more likely to expect equality in their relationships (Raymo, Park, Xie, & Yeung, 2015). Therefore, men were often reluctant to get married to women in such professions. The majority of unmarried female judicial officers mentioned that their life was confined to the office and home.

Pressure stemming from social isolation can be worsen when judges have to deal with workplace conflicts. The next section explores interpersonal conflicts between judges and lawyers.

Job demands and Social Aspect

Interpersonal conflicts between lawyers and judges

Participants have found interpersonal conflicts between judges and lawyers represented a major job demand that caused job stress. The interest of the judge was to conclude a lawsuit as quickly as possible to address the growing backlog of cases and to improve public confidence in the judiciary and to save the public from spending unnecessarily on lawsuits are the primary concerns of the judge. The motives of lawyers are financial because litigants must pay them per appearance in courts. the majority of lawyers prefer to drag the case out for as long as possible. Intervention of the judge to solve the case is not appreciated and judge is regarded as an enemy at the workplace. A participant stated:

> *"Lawyers are money minded so they want to drag cases as much as possible. If we intervene to stop unnecessary questioning, we become highly unpopular and being hated by lawyers… "* (District court judge,16 years).

Judicial officers realized that lawyers were unnecessarily dragging out cross examinations and asking for further dates and judges would intervene and spoke directly to litigants in an effort to solve the lawsuit. Such intervention was resented by lawyers as it speeded up the judicial process and reduced the fees, they could charge their clients. Judicial officers mentioned when they intruded into cross examinations and refused to agree to further dates unless there were unavoidable circumstances. When lawyers realized the judge would be strict and seek to resolve cases efficiently, they often became

aggressive towards them and would write petitions against the judge to the ministry or attempt to have the judge transferred. A judicial officer mentioned:

> "*When I realize the lawyer deliberately drag the case I directly speak to litigants. Therefore, lawyers hate me. They have written lots of petitions against me to the chief justice. They have tried to transfer me to another station…"* (Court of appeal judge, 32 years).

Work tress for judges deriving from work overload, political influences, social isolation and interpersonal conflict between judges and lawyers can negatively affect their performance, health and wellbeing and may have an impact on integrity of the justice system. Judges in Sri Lanka experienced excessive job demands which may potentially leading to job burnout. The next section discusses the job burn out experiences revealed by judges.

Job demands, Burnout and Health Impairment Process

Excessive job demands can result in employees experiencing burnout. Experience of the burnout of judicial officers in Sri Lanka can be predominantly identified under emotional exhaustion. Forty three out of fifty-four judicial officers revealed their burnout experiences due to the nature of the job. One participant mentioned:

> *"Our work is a mental strain; I feel drained when I wake up in the morning. I feel like I am wearing a crown of thorns. I have few more years to go like this..."* (High court judge, 24 years).

Another one added

> "*Sometimes I feel my job is sucking blood out of me. There is no mental freedom, I feel we are helpless, and this job is a punishment"* (High Court judge, 32 years).

Excessive emotional depletion contributes to burnout which may give rise to psychological issues such as depression, anxiety and somatization (Hakanen, Schaufeli, & Ahola, 2008;Schaufeli & Taris, 2014). Depressive disorder and anxiety disorders were the mostly revealed psychological costs of burnout among judicial officers in Sri Lanka. A judicial officer mentioned:

> "*I thought I'm physically unwell but not mentally until my colleague took me to a psychiatrist. I was diagnosed with depression and was under medication for few months.."* (High Court judge, 27 years).

Burnout may have detrimental effects on physical health. Burnout can negatively affect overall self-rated health status and can lead to a broad range of health problems, including somatic complaints such as fatigue and nausea, cardiovascular diseases; back and neck pains, sleep disturbances and

hypertension, gastritis, flu-like illnesses, common colds, or incidences of gastroenteritis (Melamed, Shirom, Toker, Berliner, and Shapira, 2006). Furthermore, burnout is associated with type 2 diabetes and it is believed that stress plays a significant role in the aetiology of type 2 diabetes. Judicial officers in Sri Lanka suffered from numerous physical health issues. Hypertension, sleep disturbances, fatigue, gastritis, back pains and diabetes were the most commonly mentioned physical health issues. Two high court judges died on the bench due to cerebrovascular accident (stroke) in 2012 and 2016. Many judicial officers were under medication for various physical health issues such as cholesterol, fatty liver, diabetes and high blood pressure. One judicial officer stated:

> *"I got gastritis. Still I am under medication. Doctor says it is because of the stress I am experiencing"* (High Court Judge, 26 years).

Another participant stated

> "*Job stress is high, my doctor said that is the reason I had to start medication for diabetes when I was fairly younger…"* (District Court Judge 16 years).

Given the heavy demands placed on them, it is not surprising that judges often experienced psychological distress and reported high levels of burnout. High levels of stress may affect a judge's performance, which has important implications for the legal system. For example, judges may be unable to make accurate decisions or properly strike inadmissible evidence or remarks. Because of the integral role of judges in the justice system, it is important to understand the specific job stressors they experienced in order to understand some of the challenges facing the judicial system in developing countries in South Asia such as Sri Lanka.

DISCUSSION AND CONCLUSION

The present study revealed that judicial officers in Sri Lanka experienced considerable work stress stemming from job demands such as judicial overload, political influence, social isolation and interpersonal conflict between lawyers and judges. Consequently, many participants suffered from psychological issues such as depression and anxiety disorders. Many judicial officers also experienced physical health issues that included hypertension, sleep disturbance, fatigue back pains and diabetes. This study adds to the existing literature on job demands by providing a study of job demands and burn out in Sri Lanka among judicial officers (Wickramasinghe, 2010; Azharudeen and Arulrajah, 2018).

Secondly, this study highlights the potential for political interventions to represent a distinct category of job demands. The political demands experienced by employees have not been examined as a specific job demand in the job demands-resources literature. Experience of political intervention is different from other professional occupations such as academics, doctors and engineers as they are not as vulnerable to direct political interference in their job roles (Chamberlain, Miller, Flores, Bornstein, and Richardson, 2011). Therefore, this finding addressed the lacuna of absence of profession-specific job demands and added to the political dimension of job demands literature. As demonstrated above there is a need for further investigation of political influence on judicial work. This study opens up a discussion to the exacerbation of job strain of judicial officers in Sri Lanka due to the intervention of executive and legislature (political) to the judiciary which has not been studied in job demands-resources literature before. However, there is still much to be explored about political intervention and judicial stress. The needs for future research should aim at evaluating the extent, prevalence and forms of political interventions to the judiciary is warranted because judges are susceptible to political interventions that inhibit occupational functioning and mental wellbeing. Ethical conduct and career prestige refrain judges from expressing sensitive information of their working environment. Therefore, it is important for researchers, academics and policy developers to understand the degree to which judges are affected by political interventions in a theoretical manner to articulate intervention strategies.

Thirdly, this study identified occupation-specific job demands. There is an absence of systematic studies which identify the job demands experienced by judicial officers (Schaufeli and Taris, 2014; Schaufeli, 2017). Identification of specific job demands perceived by particular members of the occupation group assist in the development of job demands literature and work-related stress theories (Schaufeli and Taris, 2014). This study identified a range of job demands including political influence, social isolation which has not been usually discussed in the job demands literature and work stress literature.

Fourthly, this study suggested that experience of particular job demands may vary based on gender. Female judicial officers experienced social isolation and reduced marriage prospects while male judges experienced a lack of social interaction and entertainment. In Eastern countries women's

academic aptitude and economic independence are not predictors of marriage and women's career considered to be subservient to that of males (Raymo et al., 2015). Therefore, it has been found that women with higher education attainment and socioeconomic resources such as financial security, social status marry later, never be able to get married or have fewer children (Glen and Elder, 2018).

Finally, this contributes to the burn out literature by investigating the psychological impact of burn out. Burnout may give rise to psychological issues such as depression, anxiety and somatization (Schaufeli and Taris, 2014). However, longitudinal support for this process of health impairment remains sparse, and depression or other indicators of mental health rarely included as an outcome (Bianchi, Boffy, Hingray, Truchot and Laurent, 2013).

While the literature has discussed about the effect of isolated factors of stress on employee wellbeing. However, the interaction of stressors and ripple effect on employees have rarely been discussed. For example, stress created by work overload can be compounded by political influences and social isolation. Consequently, effect of such a composition of stressors can be detrimental and may not be limited to above mentioned health effects. This opens up a debate to explore the compounding effects of stressors and its effects on occupational functioning.

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Indigenous and Emancipatory Entrepreneurship in Brazil: Constructing Slab-laying Festivities Based on Popular Culture

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ABSTRACT: *The main goal of the research is to challenge the conventional understanding of entrepreneurship through the concept of popular culture. Empirically, we focus on the experience of building house rooftops in marginal neighborhoods in Bahia, Brazil. Because of the lack of monetary resources, the construction experience involves neighbors in a collective, solidary, and festive ('slab-laying party') dynamic, requiring cultural strategies and innovations for to ensure intense involvement. Methodologically, the research is based on an audiovisual ethnography, from multiples sites and sources (photos, videos, interviews, observations, and digital documents). The concept of 'popular micro-entrepreneurship' gives visibility and recognition to several practices, rooted in popular culture, that are disregarded and often unthinkable as entrepreneurial.*

Keywords: *Cultural micro-entrepreneurship. Audiovisual ethnography. Popular culture. Slab-laying party. Cultural entrepreneurship.*

The field of entrepreneurship research is plural in its theorizations, approaches, ontologies, themes, concepts, ideologies, and fields of practice. The history of the field is impregnated by conservative and unidimensional approaches, but fresh and complex understandings of entrepreneurship are emerging. They involve a conceptualization of entrepreneurship from many perspectives (discursive, emotional, aesthetic, etc.), such as the critical (Tedmanson et al., 2012; Spicer, 2012), feminist (Calas et al., 2009; Essers & Benschop, 2007; Essers & Tedmanson, 2014), cynical (Jones & Spicer, 2009), ideological (Armstrong, 2005; Costa & Saraiva, 2012; Verduyn & Essers, 2013), indigenous (Dana, 2015; Pearson & Helms, 2013; Peredo et al., 2004), and emancipatory (Verduijn et al., 2014; Goss et al., 2011; Rindova et al., 2009) perspectives.

In this research, we join these critical perspectives and add new ingredients: the concept of popular culture and the empirical context of festivities in marginalized communities. The main goal of the research is to challenge the conventional understanding of entrepreneurship through the concept of popular culture. Theoretically, we mobilize knowledge of popular culture and entrepreneurship as emancipation and sociocultural processes.

Empirically, we focus on the experience of building house rooftops in peripheral neighborhoods in Bahia, Brazil. Because of the lack of monetary resources, the construction experience involves family, neighbors, and friends in a collective, solidary, and festive ('slab-laying party') effort, requiring cultural strategies and innovations to ensure intense involvement. Several micro-cultural innovations are constantly created and practiced to engage people in the construction process. The slab-laying party is a strategy created, perpetuated, and transmitted within the universe of popular culture.

ENTREPRENEURSHIP DRIVEN BY THE EMANCIPATORY PRACTICE OF POPULAR CULTURE

Entrepreneurship is about processes (Lindgren & Packendorff, 2009; Steyaert, 2007) and practices (Johannisson, 2011; Clercq & Voronov, 2009), involving cultural (Davel & Corà, 2016), temporal (Lindgren & Packendorff, 2003; 2011) and emancipatory (Goss et al., 2011; Rindova et al., 2009; Verdujin et al., 2014) issues. Entrepreneurship unfolds in a flow, and not necessarily in an intentional or planned order, even though the flow can be temporally predefined (for the logic behind project-based entrepreneurship or series of entrepreneurial acts, see: Lindgren & Packendorff, 2003; 2011). Thus, it intervenes actively in the spatio-temporal rhythms of everyday life (Verduyn, 2015).

For some time, process-based and practice-based perspectives of entrepreneurship have been challenging mainstream conceptualizations of entrepreneurship, dominated by assumptions of determinism, centered on economic rationality and new venture creation, involving profitable market opportunity-spotting, understood as an intentionally planned (sequences of stages or steps) and linear activity, and considered as the intrinsic property of an individual. These perspectives invite us to perceive the complexities and subtleties of entrepreneurship, as we also include a non-linear logic (Johannisson, 2011; Sorenson, 2006; Steyaert, 2007; Verduyn, 2015; Wright and Marlow, 2011), the flow of actions in everyday life (Boutaiba, 2004), and a plural set of social activities and processes (Calás et al, 2009). Indeed, entrepreneurship as an ongoing and creative process implies the disruption of a status quo (Goss et al., 2011; Johannisson, 2011), altering daily practices (Hjorth and Steyaert, 2004), and creating space for the new to emerge (Hjorth, 2013).

Practicing entrepreneurship is a matter of emancipation. Entrepreneurship is a social change activity (Calás et al., 2009), based on emancipatory actions as people seek to achieve autonomy, express personal values, and make a difference in the world (Rindova et al., 2009). Entrepreneurship as emancipation is a question of pursuit of freedom and autonomy relative

to an existing status quo, including both the factors causing individuals to seek to disrupt the status quo and the ways they undertake to change them. Through the lens of emancipation, entrepreneurship is used to overcome existent relations of exploitation, domination, and oppression, creating new firms, products, and services as they represent liberating forms of individual and collective existence (Verduijn et al., 2014). Nevertheless, what represents emancipatory activity to some people may be considered as oppression to others. Thus, it is wise to view both emancipation and oppression as potential outcomes of entrepreneurship, which exist in a relationship of constant tension (Verduijn et al., 2014). The emancipation process is inseparable from a cultural process of interpreting and making sense of what oppressions and innovations exist in the context.

Cultural issues of entrepreneurial practice relate to the role of culture as symbolic discourse (a rhetoric resource), as a symbolic process of creation, and as symbolic consumption (Davel & Corà, 2016). Entrepreneuring requires the ability to tell persuasive stories that are composed using cultural and symbolic sources. In this sense, culture is a repertoire, a context (stories make sense within a context), and means for people to achieve their entrepreneurial purposes (Lounsbury & Glynn, 2001). Entrepreneuring involves a process of creation that occurs thanks to cultural anchoring, although new cultural creations have to go beyond this anchorage, to be able to renew it, in some imprecise or unusual way. This occurs especially in the context of creative work that intensifies value in symbolic and cultural meanings (e.g. Banks et al., 2000; Hagoort et al., 2011; Ravasi & Rindova, 2013). Entrepreneuring also relates to the cultural dimension of consumption: the diverse processes of reception, appropriation, and use of goods and services based on their cultural value and meaning (Ravasi & Rinddoa, 2013).

The importance of culture for entrepreneurship has being widely considered in entrepreneurship research. But, the concept of popular culture is absent. We argue that

popular culture may open up new trends for rethinking entrepreneurship practices and processes because it draws attention to the cultural struggles and ingeniousness of people who are on the margins of society. The idea of popular culture is often a way of categorizing and dismissing the cultural practices of 'ordinary' people (Storey, 2003), especially the cultural life and struggles of people (Bakhtin, 1984). Although the term popular culture can be articulated to carry a range of different meanings, what all these have in common is the idea of 'popularis' – belonging to the people. Radically, it refers to a sphere in which people keep struggling over reality and their place in it; a sphere in which people are continuously working with and within to make sense of and improve their lives (Grossberg, 1997).

The concept of popular culture emerges in the late eighteenth century in intellectual accounts of 'folk' culture (Chartier, 1993), but it can be defined in different ways: as folk culture, as mass culture, as the 'other' of high culture, as an arena of hegemony, as postmodern culture, as 'roots' and 'routes' for cultural identities, as mass art, and as global culture (Storey, 2003). It is important to distinguish between mass culture (the cultural 'products' produced by an industrialized, capitalist society) and popular culture (the ways in which people use, abuse, and subvert these products to create their own meanings and messages). Rather than focusing on mass culture's attempts to dominate and homogenize, we prefer to focus on popular culture's dynamics, involving evasions and manipulations of these attempts (Fiske, 2010).

Popular culture is a dynamic force in political struggles, in which we may find a structured distribution of practices, codes, and effects, constantly rearticulating itself by incorporating pieces at the center and excorporating pieces of itself at the margins (Ayala & Ayala, 2002). The dynamics of popular culture are a mix of consent and resistance: it is neither an imposed mass culture (the sum product of the media and entertainment industries) nor a culture emerging from below. Rather, it is a place of exchange and negotiation between both, marked

by resistance and incorporation (Bennett, 1986). Indeed, it is useless to want to identify popular culture using the supposedly specific distribution of certain cultural objects or models. What in fact matters as much as its distribution, and which is always more complex than it seems, is its inventive and subversive appropriations by groups or individuals (Chartier, 1993).

We may also understand popular culture as the productions of those without cultural capital (those lacking access to the approved means of symbolic and cultural production), involving products that require little cultural capital either to produce or to consume (Parker, 2011). As popular art is not authorized by the artworld, popular culture is a kind of unauthorized culture (Parker, 2011), recalling, for example, the 'unofficial' culture of comic and carnivalesque forms of medieval life in Bakhtin's research (Bakhtin, 1984). Popular culture defines certain formations of practices as the possible sites of individual investments, sites at which subjects and identities are constructed (Grossberg, 1997; Magnani, 1984).

Popular culture takes place and emerges from the everyday experiences, practices, and expressions of the people. It is saturated in the mundane actions of people and is rooted in commonplace rituals, which are informed by habits, routines, and sociocultural performances. It is intimately interwoven into our private life; it percolates through our mundane existence so deeply that our entire way of life could not be imagined, lived, and practiced without it (Waskul & Vannini, 2016). The everydayness of popular culture can be associated with the everydayness-driven understanding of entrepreneurship (Stewaert, 2004), in which entrepreneurship unfolds in a variety of interactions in many segments of the population through a diverse, continuous, and everyday logic (Certeau, 1984). A great example is Pardo's ethnographic research about the daily life of Naples. He explains the entrepreneurial practices of the citizens to cope with the mishaps of their existence in the everyday life of the city,

seeking to create new possibilities of living in the city, through an informal and personalized way (Pardo, 1996).

SLAB-LAYING PARTIES AS AN ENTREPRENEURIAL PRACTICE OF POPULAR CULTURE IN BAHIA, BRAZIL

Research methods

As I was an outsider of the culture of slab-laying parties, the research is based on an audiovisual ethnography, involving multiple sites (Marcus, 1995) and sources of information. One of the principles of digital ethnography is multiplicity, that is, the existence of a variety of ways of engaging with the digital world (Pink et al., 2016). Although the ethnography does not focus on the classical objects of digital ethnography (Boellstorff et al., 2012; Gatson, 2011; Hine, 2015), the research considers audiovisual material as a rich source for ethnographic narratives (Banks, 2007; Cortai, 2001; Mengis et al., 2018). It also considers ethnography to be a valuable method for advancing entrepreneurship research (Johnstone, 2007).

The audiovisual dimension of our ethnographic study includes digital sources (Pink et al., 2016) and field experience (Davel et al., 2019; Shrum & Scott, 2017). I observed 7 slab-laying parties by accessing detailed and public videos available on the internet. I also studied 3 slab-laying parties by analyzing videos, photos, and interviews with the participants (actively engaged in the party) . I participated in and observed one slab-laying party. All 11 parties took place in different communities and neighborhoods of the State of Bahia, Brazil.

The main sources of information comprise a set of videos, photos, in-depth interviews, and observations. Some videos were selected from YouTube and other digital platforms (public sources). Other videos were produced by me (at the slab-laying party where I conducted participant observation) and my participants (at the slab-laying parties where they

participated in their respective communities). The participants are people of different ages and genders that study at the University. They were approached in the campus during class and invited to participate in the research. The public-based videos were filmed by different individuals (owners of the house, family members of the owner, neighbors participating in the party, visitors from outside the community), ensuring plural views on the same practice. This totaled 17 hours of video. In a complementary effort, I also collected photos available on the internet and taken by the participants during their parties. After the parties, I also conducted several interviews with 9 participants. Each interview lasted between 1 and 2 hours, but some interviews were repeated twice. During the party I participated in and observed, I produced 20 pages of field notes.

The production of videos, photos, interviews, and field notes, involving four slab-laying parties, was guided by a number of issues: the organizing process, the innovative activities in relation to the traditions of local popular culture, the meanings expressed during the process, the technical knowledge associated with the construction process, the motivations, the symbols, the representations, the socialization protocols, the communicational practices, the materialities and spatialities, and the manifestations of the festivity within the process. I analyzed and interpreted the empirical material as narratives (Czarniawska, 2004; Fina & Georgakopoulou, 2008; Kim, 2016; Maitlis, 2012; Riessman, 2008; Gubrium & Holstein, 2009; Heywood & Sandywell, 1999) about entrepreneurial practices based on popular culture.

Slab-laying parties as entrepreneurial emancipation

Slab-laying parties originate from the oppressive situation faced by a majority of individuals living in marginal and peripheral neighborhoods: people can construct their home little by little as they succeed in saving money. As they do not earn much in a month, saving money is in itself an entrepreneurial activity. During the slow process of building one's home,

there comes a point when this can no longer be undertaken by the owner and his/her family alone. This is the moment of constructing the roof with concrete slabs. It takes, necessarily, a group of individuals in a joint and collective effort to be able to prepare the grout mixture and transport it to the roof. Normally, it takes some amount of money to employ a contractor or a professional team, which is unpractical for lots of people. The walls, beams, and pillars can be done by the owners of the house. But when it comes to the slabs, many hands are needed. The laying down of the slabs has to be done all at once, that is, it cannot be done in parts. In fact, the popular culture orients people to buy a small piece of land and construct a small building, step by step, so the whole family can live together. Therefore, many concrete roofs are constructed throughout a lifetime.

The slab-laying party is an emancipatory way of dealing with this socioeconomic oppression. It has been created and practiced through time and it incorporates the traditions of local and popular culture in peripheral communities. The owner of the roof leads the organizing process, with members of her/his family (sons, daughter, uncles, aunts, cousins, etc.) and close friends. The organizing process involves: preparing the roof structure (placing the steel joists and the concrete slabs, inserting full-length reinforcing bars into the unit), measuring the size of the roof, calculating the construction materials needed, buying and transporting those materials, inviting neighbors and friends to the party (making sure they will be present on the day and at the time required: very often on a Sunday, between 4AM and 5AM), calculating the materials needed for the feast (drinks, ingredients, food, accessories), buying and transporting those materials, advancing the food preparations (planned for 20 to 70 people), welcoming everybody at the beginning of the work, preparing the feast (food and drinks), making sure communications flow well, creating a joyful atmosphere with musical and playful resources, serving the feast, and assuring that everybody has fun, feels good, and enjoys the party.

The first activity is the construction of the roof. Usually on Sundays, the master builder and some assistants arrive between 4AM and 5AM to start manually preparing the grout mixture (sand, gravel, cement, and water). The owner of the roof welcomes them with coffee and some bread with butter. From 5AM, other people arrive and help to prepare the mixture and to transport it to the roof, using plastic buckets. People transport the buckets in a cultural way: they form a line, in which each person waits. The line goes from the place where a group of people are preparing the mixture until the top of the roof, where people are pouring the grout into spaces between the rows of concrete slabs, in order to cover the joists completely. A section of the line goes up and down a ladder. Though people are stationary in the line, the buckets full of the mixture are in constant movement. They go from hand to hand through the line to the top to be poured properly onto the structure. The men on the roof spread and even the mixture. This process may last 3 or 5 hours, depending on the size of the roof.

Many people arrive at different moments in the process and help in several ways. Some will pass the buckets, others will help in the cooking, in serving, and in cleaning, etc. Then the next phase is the feast. People are served cachaça (sugarcane liquor), beer, juice, water, and feijoada, which is a stew of beans cooked with a variety of salted pork or beef products, such as pork trimmings (ears, tail, feet), bacon, smoked pork ribs, and at least two types of smoked sausage and jerked beef (loin and tongue). It is served with white rice, salad, and manioc flour. The feast may incorporate other elements, depending on the will of the cook to innovate or impress his/her guests.

The party can take place in any space: inside the house, in the backyard, on the sidewalk, in a mixture of these, or somewhere else. The party emerges from the common interaction between people that live in the same neighborhood or have close (family, friends) or indirect (friends of friends, friends of family) ties. It is a mix of get-together and celebration. Eating the feijoada and drinking constitute the party, as well as the process of working on the

construction. There is not a rigid protocol for the sequences of activities during the festivities. Sometimes people share their artistic abilities, bringing musical instruments, playing, improvising with ordinary objects to produce a rhythm, singing, and dancing. Everybody enjoys the festive and fun atmosphere on a Sunday afternoon.

The ability to mobilize friends and neighbors is linked to the ability of the organizer of the event to innovate in the attractions that the party will offer to its participants. Those who invite must, in some way, produce cultural micro-innovations to ensure social conviction and, with this, the commitment of everyone on the day of the party. Those who take their efforts to the activity also look for leisure on their day off, social-affective bonds, the fun of the melodies, the free food and drink, etc. Micro-innovations that support the popular entrepreneurship of the slab-laying party represent efforts to distinguish the party's organizers. They are micro-innovations related to the atmosphere of joking, musicality, and gastronomy that can mark some celebrations as unforgettable.

The micro-innovation of playfulness and enjoyment

The emancipatory practice of entrepreneuring slab-laying parties in Bahia suggests playfulness as a cultural micro-innovation. Interaction and laughing are cherished by people, and need to be socially constructed during and after the slab laying. Thus, slab-laying parties where playfulness becomes predominant are appreciated as distinctive. Playfulness and fun are the fuel of entrepreneurial practice based on popular culture. At least two practices of playfulness may be viewed as singular and cultural micro-innovations: the bucket theft and the provocation ('fuxico') club.

The provocation club is a term used to convey all the interactions in a group of people involving from making others laugh and having fun from ongoing provocations, clownery, and

jokes. People may call each other by funny nicknames. They can joke a lot about the rivalry of soccer teams. However, storytelling is the most prized ability. The funny, crazy, and refined (culturally anchored) ways of telling stories, mobilizing local expressions, funny metaphors, and images, amuse people a lot. During the construction time, the tone of the jokes helps to relieve tensions, to socialize, and to lose track of time. People joke, play, and work hard all together.

The bucket theft took place in one specific roof construction. At one point, many guests start to hide the buckets at the end of the process of transporting the grout mixture. In fact, each person steals one bucked to take home as a souvenir of the party and as a trophy of the conquest (working hard on a Sunday morning). The bucket acts as a symbolic artefact that is impregnated with affective memories of fun, solidarity, and playfulness. Stealing the bucket is not about the simple process of hiding it. Rather, it represents a funny way of acting, interacting, and narrating the scene. It needs to make others laugh, participate, and have fun. It is a process instead of an isolated moment, unfolding through many situations, interactions, and laughs.

Other cultural micro-innovations in the emancipatory practice of slab-laying parties are related to the activities of food and music. Together and combined in playfulness, these innovations produce a sensation of enjoyment that is shared and experienced by participants. In terms of food, delicious feijoada is like a cultural brand ascribed to some people in the community. Thus, people are motivated to go to a slab-laying effort because the special seasoning, flavoring, dressing, and spices of the cook. The same may occur in the context of music. When people know that the music will be distinctive and vibrant, they consider the occasion to be authentic in relation to others. Music involves the choice of electronic music, but also neighbors and friends that are musicians playing during the party and engaging with their other musician friends. The samba circle ('samba de roda') makes a difference in some

slab-laying parties, because of its capacity to involve people in a local, popular, interactive, and aesthetic experience.

DISCUSSION

Many other practices of popular culture may exist and reveal insightful experiences of entrepreneurial practice and emancipation. Marginality may provide a fertile source for learning on indigenous entrepreneurship, as it provides us with creative practices, discourses, and skills. As in our research, Imas et al. (2012) investigated the entrepreneurial practices and narratives of individuals who live in marginal and excluding contexts. They developed interesting entrepreneurial activities and skills to maintain communal, organizational, family, and personal wellbeing. I propose the concept of 'popular micro-entrepreneurship' as a heuristic path for giving centrality to the concept of popular culture in the context of entrepreneurship research and for shedding light on many marginal entrepreneurial practices that are hidden by mainstream entrepreneurship theories.

The concept of popular micro-entrepreneurship is fed by four dimensions, according to the popular culture's practices: emancipation, everydayness, festivity, and solidarity. The emancipatory practices of popular culture reveal a flow of inventive and creative activities, in which the collective and solidary efforts take place, radically. As a dynamic concept, emancipation is always open to new searches for freedom, autonomy, and wellbeing. Emancipatory entrepreneurship emerging from popular culture is a field of innovation (Leonard & Swap, 2005) inscribed in people's everyday life. With regular practice, it may become a potent form of expertise based on first-hand life experiences, providing insights drawn from tacit knowledge, and shaped by beliefs and socio-affective forces. It helps people to develop the ability to comprehend complex, interactive relationship and make swift, expert decisions based on that system-level comprehension.

Another dimension is the everydayness of popular culture and entrepreneurship practice. The term 'micro' attached to entrepreneurship and to innovative practices conveys the idea that entrepreneurship and innovation may be perceived as a process, which takes place in the everyday life of ordinary people. Innovation can unfold in a cultural activity on a mundane scale, instead of being about objects on an extraordinary scale. Everydayness means that there is not a predefined time and place for entrepreneurial practice to emerge. Popular culture is a relational and everyday source for cultural capital, feeding practices that contain a plethora of meaning, values, and connections. These practices are embedded and experienced in the everydayness of popular and marginal culture, contradictorily within an economic system that promotes a discourse of entrepreneurship associated with capitalist economic development. Thus, popular micro-entrepreneurship refers to the everyday generous production and handing over of things that creates in others and producers alike a widened and richer sense of possibility.

Popular micro-entrepreneurship is about the festive practices of popular culture. Festivities are understood as an arena of popular organization, artistic expression, and social action that expresses cultural identity (Amaral, 1998). The festivity mediates between utopian and transformative actions, because, motivated by the desire to hold a party, many groups experience organizing, creating, and entrepreneuring processes. Furthermore, the festive dimension of entrepreneurship helps to promote subversive experiences through the temporary suspension of reality (Bakhtin, 1984); in order to invigorate people to later continue their routines and regenerate the existing social order (Duvignaud, 1973). Festive practices of popular culture are a dimension of entrepreneurship that calls for future research.

The fourth dimension of practicing popular culture is solidarity. Popular culture is an ongoing invitation to address constraints and open up new possibilities, which is inherently

social as it involves entrepreneurs in having sensitivity to belonging to a collective community and relating to a shared recognition of its concerns. Thus, it directs entrepreneurs towards a disposition to find in these constraints a way of doing things differently. People practice entrepreneurship when they are intensely and solidarily involved in changing the taken-for-granted, everyday practices in some domain of their culture (Spinosa et al., 1997). Popular culture invites an understanding of entrepreneurship that is similar to the formulation of Hjorth and Holt (2016): as inherently social and collective (the social nature of creativity), an expression of generosity of action (the action of opening up possibility without known ends). Solidarity is enlightened by the notion of gift (Godbout, 1999; Carvalho & Dizimara, 2000; Eckstein, 2001; Godelier, 1996; Mauss, 1967; Simmel, 1950), a way to explain the strength of reciprocity and the spirit of generosity that encourages people to help each other. The energy of the gift is a path for weaving and strengthening the ties of sociability, solidarity, and friendship in the scope of social relations within the community. The exchanges build trust, and over time they provide communitarian 'glue' (Eckstein, 2001).

CONCLUSION

This study makes a contribution to challenging and revitalizing entrepreneurship research by showing how 'popular micro-entrepreneurship' – a connection of popular culture with entrepreneurship – is enlightening in its capacity to enhance people's possibilities for creating, relating, and living better lives. The notion of 'popular micro-entrepreneurship' appears as a heuristic alternative to expand and refine entrepreneurship theories. It conveys a discourse about the richness of popular culture that, consequently, may empower marginal groups and indigenous practices. It also highlights some ideas that help explore how the world of popular culture may be applied in the context of entrepreneurship (such as through solidarity, everydayness, festivity, and cultural micro-innovations).

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Stream 1: Wicked Solutions to Wicked Problems
Interactive Session

The stress stupidity system: Solutions and sustainability

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ABSTRACT

The "new" science of stupid has long existed in organizational studies as the "threat-rigidity effect" and the "stupidity-based theory of organizations" This paper explores what we will call humanity's biggest threat to our future and our ability to sustain our lives on this planet: the "stress-stupidity system." Building on the stupidity-based theory, we outline the elements of the stress-stupidity system, look at the possibility that, at the organizational level, we may be able to "fix stupid" and apply these concepts to fixing what may be the next biggest challenge to humanity: sustainability.

Keywords: Stupidity, Threat-rigidity, Fixing Stupid, and Sustainability

Stream 1: Wicked Solutions to Wicked Problems
Interactive Session

In March 2018 United Nation's Secretary General António Guterres called climate change "the most systemic threat to humankind" (Sengupta, 2018). Guterres then went on to urge world leaders to curb their countries' greenhouse gas emissions. Such an appeal actually points out that it is not so much the environmental threat that is doomsday deliverance but rather it is the disinclination of corporate and government leaders to do anything about our environmental problems on a broader scale. We may have more polite terms for this inaction, but "stupidity" is an appealing one.

In this paper we address "stupidity" and how it is maintained in organizations and institutions. We will first look at the recent psychological foundations of the "science of stupid." Then we outline recent organizational applications to "functional stupidity," and the "threat-rigidity effect." We then discuss what may be humanity's biggest threat to our future and our ability to sustain our lives on this planet: what we call the "stress-stupidity system." Building on these research streams, we outline the elements of the stress-stupidity system, look at the chance that, at some level, we may be able to "fix stupid." We then apply these concepts to fixing what may be the next big challenge: sustainability.

STUPID IS AS STUPID DOES

To label something as "stupid" is not simply name-calling. People have something specific in mind if they use this term. Aczel, Palfi and Kekecs' (2015) analysis of what people label as "stupid" is a functional one, i.e., to take Forrest Gump's line, "Stupid is as stupid does" (Pappas, 2015, p. 1).

Identifiable Stupidity

In an analysis of people's response to a range of ill-considered actions Aczel et al. (2015) found that people employed the label "stupid" for three separate types of scenarios. One, stupid can be **confident ignorance or** failure to maintain a balance between confidence and abilities. Two, stupid is **absentminded** failure of attention or lack of practically. Finally, stupid is impulsive lack of control.

Confident ignorance.

Pomeroy (2015) describes **confident ignorance** as an actor that takes high risks while lacking the needed skills to perform the action. For example, when burglars wanting to steal cell phones instead stole GPS navigation devices. Then these same burglars did not switch off the devices and were easily tracked down by police. Effectively, this is not just being ignorant of one's own ignorance—the "*Dunning-Kruger effect" (Kruger & Dunning, 1999;* Dunning, *2011)—but being more certain about one's observations in spite of being presented with evidence to the contrary.*

Rollwage, Doland and Fleming (2018) found that people holding radical beliefs (both liberal and conserative) were more likely to experience metacognitive failures. Their study's more radical subjects not only displayed less insight into the correctness of their objective perceptual choices, but they reduced updating of their confidence when presented with post-decision evidence. Their subjects looked at two different clusters of dots to identify which group had more, then rated how confident they were in their choice. Radical subjects were as accurate as moderate ones but "after incorrect decisions, the radicals were less likely to decrease the estimate confidence" (Chodosh, 2018, p. 6).

Under ambiguous conditions without routines, individuals, groups and organizations may call on a biased situational view and employ heuristics, preconceptions, and prejudices to address a threat (Gilovich, Griffin & Kahneman, 2002; Kahneman & Frederick, 2005). As per Staw, Sandelands, and Dutton (1981) poor information may detract from finding optimal solutions. Also, when efforts begin to look like failure, decision makers may reformulate goals and/or rules for success (e.g. this year's profit is unimportant as we reconfigured our investments for future profitability). Stress responses eventually lead to inapt actions that may be irrelevant in tackling the real problem at hand. While higher dykes may reduce flooding due to rising sea levels, the sea level rise is the real problem and the eventual need, for example, to construct a dyke around the entire state of Florida is difficult.

Failures of attention

Aczel et al. (2015) note that those in their **"absentminded" group,** knew the right thing to do. Yet, they were not paying sufficient attention to avoid doing something "stupid." Pappas (2015) cites the example of walking out of the store without paying for a desired purchase.

Do global players fail to see the unsustainable impact of human activity on the environment? The behaviour of commercial organizations—when interpreted by Ocasio's (1997) attention-based view (ABV) of organizations—indicates that they do have attention failures. The ABV explains that organizations "focus of time and effort … on a set of issues… and on a particular set of action alternatives… " (p. 188). Thus, organizational attention creates an agenda of "issues and action alternatives that guide the allocation and deployment of resources" (Ocasio, Laamanen & Vaara, 2018, p. 155). Thus, if sustainability issues fail to rise to the level where they seriously impact businesses achieving profits, or government officials getting re-elected, they are ignored.

Lack of impulse control

The "lack of impulse control category" includes cases of obsessive, compulsive or addictive behaviour. One example is the person who cancelled a meeting with a good friend to stay home and continue playing video games. It could also be the case where political party members reject their own statutory recommendations because the opposition brought the bill to the legislature.

Argenti (1976) talks about the notion that autocratic decision makers may imperil the very existence of their organizations. They do this by failing to accept objections from those charged with implementing their preconceived plans. In addition, such autocratic decision makers may select biased information to support their proposals. Managers either buy into the efforts to selectively use information, limit alternatives and execute these preconceived plans, or they leave the organization.

Functional Stupidity

While Aczel et al. (2015) gives us the basis for defining the concept of stupid, Alvesson and Spicer (2012) provide us with "a stupidity-based theory of organizations" (p. 1194). Alvesson and Spicer discuss what they call "functional stupidity." As they define it, "functional stupidity is inability and/or unwillingness to use cognitive and reflective capacities in anything other than narrow and circumspect ways… a disinclination to require or provide justification, and avoidance of substantive reasoning" (Alvesson & Spicer, 2012, p. 1201). They note functional stupidity is a mixed blessing.

Good functional stupidity

Alvesson and Spicer (2012), note that functional stupidity offers group members a sense of certainty to allow smooth organizational functioning. When a relaxed attitude toward being reflective, critical scrutiny, or justification is adopted, it saves the group from frictions created by reflection and doubt. By accepting and embracing group values, functional stupidity allows group members to avoid task fragmentation and contradictions to focus on organizational goals and the means to achieve them.

There is also economy to functional stupidity. If organizations were constantly justifying all their actions, they would need to devote significant resources to creating and expressing such justifications. Via functional stupidity, organizations can avoid costs associated with such critical thinking. A sense of mindlessness, to use Ashforth and Fried's (1988) term, allows a great deal of work to be accomplished when narrow and predictable conditions and action responses are required.

Bad functional stupidity

The down side to functional stupidity is that the organizationally-supported lack of being reflective, substantive reasoning and justification brings about a refusal to use intellectual resources outside a narrow and safe space (Alvesson & Spicer, 2012). Group members may thus lack the ability

or desire to use or process knowledge (Sternberg, 2002), question claims to knowledge or norms (Alvesson & Sköldberg, 2009), or use cognitive resources and intelligence (Alvesson & Spicer, 2012). A lack of curiosity, closed-mindedness, and a reluctance to diminish one's identity as an 'organizational person' can be a barrier to broader thinking (see Kets de Vries,1989; Whyte, 2002).

Alvesson and Spicer (2012) argue that by exerting their power via manipulation of symbols, corporate branding, strong corporate cultures, and charismatic leadership, organizations often block communicative action. The result is adherence to edicts by higher-ups, and a muffling of criticism or reflection. Doubts are stymied and there is a false sense of certainty about norms. What can and cannot be raised during group deliberation is restricted. Pair all this with a leader who lacks impulse control (Aczel et al, 2015), and the potential for disaster is great. Functional stupidity can thus increasingly expose wide gaps between shared assumptions and reality, and produce a disaster.

The inability of an organization, or the main actors in it, to be reflective, exercise substantive reasoning and be able to logically justify what would otherwise be questionable decisions adds to the likelihood of some kind of failure. We see all these elements in the case of the Boeing 737 Max. Rick Ludtke, an engineer with 19 years at Boeing who helped design the 737 Max's cockpit noted that the plane: "was state of the art… 50 years ago… [but] not… for the current environment" (Nicas & Creswell, 2019, p. 11). He points out what Alvesson and Spicer's (2012) functional stupidly talks about, but in the Boeing corporate culture: "Nobody was quite perhaps willing to say it was unsafe, but we really felt like the limits were being bumped up against" (Nicas & Creswell, 2019, p. 23).

The overall effect

Overall there is a trend toward inapt, rigid or preplanned approaches. This leads to stupidity in response causing intensification of threats or stressors. Actions become riskier as commitment increases to double down on attempts to make maladaptive behaviours work. **Thus, in corporations, without board or creditor intervention, decision makers' will allow top management teams to pursue** inapt decisions unabated until the organization fails or is taken over. In political systems, leaders would have to either be voted out or otherwise removed. Punctuated change may be

needed to overcome confident ignorance, and remove inattentive or autocratic leaders. Such change allows for new leadership, more realistic information and better decisions. The alternative is eventual collapse.

Engaging in **confident ignorance, absentmindedness**, and lack of impulse control does not necessarily mean a lack of intelligence. Aczel et al. (2015) says these acts reveal more about the observer's behavioural expectations. A person doing a stupid thing may be working with different expectations. On a grander scale, how can we say whole organizations or institutions are "stupid?"

The threat-rigidity effect

A number of classic organizational studies address the behavioural antecedents of sub-optimal acts (e.g. Smart & Vertinsky, 1977; Tversky & Kahneman, 1974). The most widely known work is Staw et al.'s (1981) multilevel analysis on the threat-rigidity effect. Their focus was on how adversity affects the adaptability of multiple layers of organizational or institutional systems. They postulated that when a group is threatened, processes become more rigid and actors rededicate themselves to once routine solutions to address the threat, even if such behaviours are inappropriate.

There are, to use the phrasing from Aczel et al. (2015), actors who are confident in their ignorance in handling the situation at hand. Looked at another way, under threat, the direction of organizational inertia is maintained, if not strengthened – resources are misallocated and routines are entrenched (Gilbert, 2005). This would be Aczel et al.'s (2015) impulsive lack of control. Staw et al.'s (1981) analysis is multilevel because it addresses individual, group and organizational effects.

Individual level effects

Individual level effects described by Staw et al. (1981) include psychological stress, anxiety and physiological arousal. Just as in Rollwage et al.'s (2018) work, new information that may change evaluation of the facts is ignored. Weick (1996) noted how 27 wild land fire fighters failed to follow orders to drop their heavy tools so they could outrun an exploding fire. Their training told them this was a thing they must never do and they died within sight of safe areas. Such actions, according to Staw et al., restrict information processing and result in constriction of control. Thus, the need for

rapid response increases belief bias in such a way that decision makers are not fully able to engage their analytical abilities in ways that lead to correct logical decisions (Evans & Curtis-Holmes, 2005).

Group level effects

Group level effects include the effect of threat upon group leadership and control, as well as pressures toward uniformity. If the threat is attributed to external sources and it is thought that group efforts will succeed, group cohesiveness, leadership support and pressure for uniformity increases. This results in restriction of information and constriction of control. If instead the threat is credited to internal sources or it is thought that group efforts will fail, group cohesiveness and leadership stability declines and dissention increases. This may force the input of new information and looser controls.

Organizational or institutional level effects

Organizational or institutional level effects in the threat-rigidity research come from the crisis literature (e.g. Smart & Vertinsky, 1977). The perception that one is in a crisis means that there is the potential for loss. Decision makers may initially increase information seeking to confirm the existence of the crisis, but as a crisis progresses, information gathering declines, in part because information channels get overloaded. Authority gets more centralized and formalized to direct efforts to address the crisis. Information gathered by previous authorities may be seen as suspect; if it were useful, those previously in charge would have used it to avoid the current problems the institution is mired in.

The overall effect

Overall, there is restriction in information and constriction of control. The result is that there is a tendency toward well-learned responses. This all leads to rigidity in response that may lead to the intensification of the threat. This will either lead to eventual collapse (see H**ambrick** & D'Aveni, 1988) or a gradual change that allows for new information and better decisions.

The stress stupidity system

What happens if there are no routines to fall back on? The question is critical for addressing needs in a new or radically changed environment. This is what we face in a well-altered natural environment and the need to address sustainability issues.

As shown in Figure 1, an environmental change may create a threat or stress that triggers a performance gap between expected and actual results. This creates a decline in the organization's ability to address key survival elements (i.e. profit for corporations, legitimacy for governments or other important institutions). This triggers the functional stupidity subsystem. If this is a familiar situation, standard operating procedures and a routine response may be suitable enough to address the threat or stress (Alvesson & Spicer, 2012). If the situation is less familiar and the proper response is more ambiguous, we encounter what Aczel et al. (2015) has identified as "stupid" (what we have labelled "identifiable stupidity"): **confident ignorance, absentmindedness**, and lack of impulse control.

Figure 1 about here

The above subsystems and decisions lead to what we call "stupidity in response." At this point, decision makers may be motivated to address their stupid intuitional actions because external forces have created sufficient pressure for change. With sufficient motivation, internal organizational changes will occur. This should allow for positive, suitable responses to threats and/or stressors. If decision makers are disinclined to change, the threat rigidity responses of information restriction and constriction of control will intensify stressors. These elements will be discussed in more detail below.

THE STRESS-STUPIDITY SOLUTION: FIXING STUPID

It has been argued, "you can't fix stupid" (White, 2006, p. 17:55). In fact, the more familiar you are with a subject, the stupider you might be. Atir, Rosenzweig, and Dunning (2015) found that in some cases over 90 percent of their subjects in a knowledge test claimed some familiarity of at least one fictitious concept in a list. As well, the more familiar subjects considered themselves to be with an area of knowledge, the more familiar they claimed to be with meaningless terms (Rutter, 2015).

On the other hand, Timothy Egan (2018) has argued the exercise of political citizenship can at least remove some of the institutional stupidity from our democratic discourse. That is, educating our fellow voters and ourselves allows us to mobilize and vote out the office holders. This does not happen without transmitting messages to those institutions from which we wish to remove stupidity.

Transmitted external forces

When Egan (2018) quotes Pope Francis' advice, "Dear young people, you have it in you to shout… It is up to you not to keep quiet" (p. 1), he is telling us that decision makers can only come to a valid choice if their attention has been drawn to the issue at hand. This speaks to correcting the failures of attention discussed by Aczel et al. (2015) above.

Public opinion pressures

Public opinion pressures serve to put issues on an organization's agenda. Ocasio's (1997) attention-based view of organizations tells us that institutional attention creates an agenda of issues and action alternatives that guide the organization. If attention can be brought to an issue it can get on the agenda and addressed. Otherwise the organization remains stupid.

Stakeholder pressures

Stakeholder pressures are likewise important. Alvesson and Spicer (2012) note that there are, "…spaces within and around organizations that can host stupidity-disturbing dialogue" to break a standard pattern of response (p. 1212). They note that these include broader social movements (Spicer & Böhm, 2007), and the media (Patriotta, Gond, & Schultz, 2011).

Symbol manipulation

Symbol manipulation is also employed by social movements. The so-called Great Pacific Garbage Patch (GPGP) "conjures images of a floating landfill in the middle of the ocean, with miles of bobbing plastic bottles…" (NOAA, 2019, para 2). Experts at NOAA point out that while, "these areas have a higher concentration… much of the debris found in these areas are small bits of plastic…" Rather than a Texas sized island that one could walk on, the debris in the GPGP "is more like flecks of pepper floating throughout a bowl of soup…" (NOAA, 2019, para. 2). The collection of these plastics up through the food chain is a problem, but without the images of islands of floating trash, decision makers and the public may be less likely to take any actions regarding plastics' use.

If the Great Pacific Garbage Patch is just peppery water, we may ignore it. A massive slick of garbage puts a more severe image in your head and it has an effect. This speaks to Ocasio, Laamanen and Vaara's (2018) discussion of the need to discuss strategic vocabularies as microfoundations of attention formation and the rhetorical tactics as determinants of attentional engagement.

Stupidity in response

The difference between being motivated and disinclined to act can imperil the existence of an entity. Sheppard and Chowdhury (2005) point out that disinterested private family ownership helped bring down Canada's leading department store, Eaton's. Eaton's lost billions before launching a failed attempt to address competitive threats that arrived with U.S. entrant Wal-Mart. They contrast this with another major chain, Canadian Tire (CT). CT's houseware lines were attacked by Wal-Mart and its hardware lines threatened by U.S. giant Home Depot. Except CT had interested family owners, was

publically traded and local stores were franchisees. Pressure from these groups quickly forced CT to address its challenges and mobilize its resources to successfully develop more competitive stores.

Moreover, insurgent movements in organizations can help break through functional stupidity (Alvesson & Spicer, 2012; Creed, Scully & Austin, 2002). As well, "leaders who are willing to open up broader reflection on fundamental assumptions within an organization" can motivate change (Alvesson & Spicer, 2012, p. 1212). A failure to be so motivated means threat-rigidity effects come into force and organizations further restrict information, constrict control and thus intensify its threats.

Communicated internal changes

Ocassio's (1997) attention-based view (ABV) of organizations reminds us that to affect change one needs to communicate the need for performing activities in a different way. An overt commitment must be made and in many cases this commitment begins at the top of the organization.

Leadership Changes

Leadership changes aid in turning around the direction of the institution. In order to turnaround corporations Schoenberg, Collier and Bowman's (2013) review concluded that organizations are aided in their turnaround efforts via changes in the chief executive officer (CEO) and top management team. This helps to signal a change in the organizational culture in order to break old habits and create new behaviours (Stopford & Baden-Fuller, 1990). More broadly, as Harris (1998) and Kuhn (1996) have pointed out, there are some areas, for example, the scientific community, where an entire generation often has to die off in order for new ideas to be accepted.

An alternative is that leaders open up broader reflection on fundamental assumptions in an organization (Alvesson & Spicer, 2012; Hatch, 2011). Yet, as noted above, such a move may be harder with continuity of leadership. More realistically, one might simply promote out of the way a leader who has reached their level of incompetence (Peter, 1984; Peter & Hull, 1969). A vice president (VP) of finance thus becomes the VP of harmless special projects; a CEO becomes chair of

the board with no real power. In any case, there is a change in the way leaders handle the situation and stakeholders can begin to address how to perform differently based on a real analysis of the facts.

Checking internal processes

Checking internal processes helps avoid groupthink (DuBrin, 2012). This concept, in brief, represents "a deterioration of mental efficiency, reality testing, and moral judgment in the interest of group solidarity" (Mannes, 2016, para. 5). The symptoms of groupthink—the suppression of dissent, polarization of attitude, and poor decision quality—are well established and demonstrated with a range of examples (e.g. see Cohen & DeBenedet, 2012; Janis, 1972). *We should reiterate here* Janis' recommendations to prevent groupthink: "appointing a devil's advocate, introducing outside voices and allowing brainstorming to occur without judgment or criticism" (Cohen & DeBenedet, 2012).

Fact checking

Fact checking is needed to reduce the subjective selection of information. All the subsystems outlined here point to some reduction in the input of reliable information. Solid information is sometimes hard to come by and even the potentially best informed of decision makers, in an effort to forward an agenda, can fall prey to glossing over facts.

U.S. presidents have at their disposal the world's best information sources. Yet Kennedy committed to the Bay of Pigs without checking data from the previous administration (Janis, 1972). Presidents Johnson and Nixon failed to fully understand the entrenched nature of Viet Cong and the Pathet Lao forces in Southeast Asia (Schlight, 2015a; 2015b). Look at Bill Clinton's failure to realize the impact of financial deregulation that would eventually lead to the 2008 Great Recession (Chittum, 2009; 2013). George W. Bush failed to understand the requirements of an occupying force in Iraq, in spite of warnings of his secretary of state (Hover, 2012). Finally, one could look at the

failure of the Trump administration to check many facts that may back up the President's assertions (Kessler, Rizzo & Kelly, 2019). If someone with access to this much reliable information can fail to use it, it would behove all decision makers to double check the facts underlying what they base critical decisions on.

Weighing risk and regret

Weighing risk and regret may involve taking a hard look at the potential for loss. This is especially important with regard to environmental concerns. Reducing negative environmental impact is expensive (Walsh, 2015). The cost of destroying the earth could be more expensive. There are two types of possible errors here. "A type I error occurs when… a pollution control device is unjustly imposed on an industry. A type II error occurs when no action is taken to control an industry when, in fact, damage is taking place" (M'Gonigle, Jamieson, McAllister & Peterman, 1994, p. 99). Deciding on a proper course of action then involves which kind of error to which one wishes to be exposed.

Capturing collective value

Mancur Olson (1965) tells us that overcoming collective action problems, like those required to clean up the environment, requires selective incentives. In other words, unless those taking action can incentivise people, organizations and/or institutions are unlikely to participate. Individual actions toward green consumerism are unlikely to have such incentives and governments are logically called upon to overcome resistance to environmental efforts (Pettit & Sheppard, 1992). This is the logic behind carbon taxes: to create a private incentive for a public good. Governments may reduce air pollution from government-controlled facilities at a cost if they can recoup those costs, for example, from reduced public health care costs. Governments may invest in basic research in photovoltaic cell development if it aids in future commercial sales and adds to national industrial development.

SUSTAINABLE DEVELOPMENT

In this last section we will address three questions. What is sustainable development? How does stupidity impact sustainable development? Finally, how do we get past being stupid?

What is sustainable development?

The U.N.'s sustainable development goals include four basic needs (food security, poverty reduction, health, and education) three equality and justice items (gender empowerment, equality, peace and capable institutions) and three economic issues (work and economic growth, industry and infrastructure, and cross-government partnerships to achieve goals) **each (United Nations Department of Public Information, 2015)**. The last seven goals address climate and environmental liveability. These seven (water and sanitation, energy, sustainable communities, responsible consumption and production, climate, marine resources, and ecosystems / biodiversity) are summarized in Table 1.

Table 1 about here

How does stupidity impact sustainable development?

We analyzed each of the climate and environmental liveability goals for how identifiable stupidity, functional stupidity and threat-rigidity impact them. These are reviewed in Table 2. Much of the stupidity seems to stem from habit, out-of-sight out-of-mind acts, political expediency, collective action problems (Olsen, 1965) and a tragedy of the commons (*Hardin, 1968)*.

Table 2 about here

How do we get past being stupid?

We analyzed each of the seven climate and environmental liveability goals for how they could be impacted by the five "stupid" fixes we discussed earlier regarding leadership, processes, fact checking, risk and regret, and collective value. These are reviewed in Table 3 below. Much of the corrections involved the development and monitoring of products, processes and new technologies.

Table 3 about here

The list in Table 2 is short on detail. Yet, it clarifies some of the stupidity going into issues surrounding sustainability. As well, Table 3 is incomplete but shows some trials on the road ahead.

Stream 1: Wicked Solutions to Wicked Problems
Interactive Session

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Table 1: Précis of U.N. sustainable development goals for climate and environmental liveability

Clean Water and Sanitation • Universal, equitable access to safe, affordable drinking water and adequate, equitable sanitation / hygiene. • Reduce pollution, minimize hazardous materials release, lessen untreated wastewater, increase recycling. • Increase water-use efficiency and ensure sustainable withdrawals and supply of freshwater. • Implement integrated water resources management, including by transboundary cooperation as appropriate. • Protect and restore water-related ecosystems, including mountains, forests, wetlands, rivers and aquifers.
Affordable and Clean Energy ⬩ Ensure universal access to affordable, reliable and modern energy services. ⬩ Increase substantially the share of renewable energy in the global energy mix. ⬩ Double the global rate of improvement in energy efficiency. ⬩ Expand infrastructure, upgrade tech. for supplying sustainable energy services in developing countries. ⬩ Facilitate international cooperation and access to clean energy R&D and tech, renewable energy, energy efficiency, cleaner fossil-fuel tech, and promote investment in energy infrastructure / clean energy tech.
Sustainable Cities and Communities ➢ Ensure access to adequate safe affordable housing / services; aid local material green building construction. ➢ Provide access to safe, affordable, accessible and sustainable transport systems, improving road safety. ➢ Enhance inclusive and sustainable participatory, integrated and sustainable human settlement management. ➢ Strengthen efforts to protect and safeguard the world's cultural and natural heritage. ➢ Reduce the adverse per capita environmental impact of cities, with special attention waste management. ➢ Provide universal access to safe, inclusive and accessible, green and public spaces. ➢ Strengthen national and regional planning to support positive economic, social and environmental links. ➢ Reduce the numbers affected by, & direct losses from, disasters by executing integrated policies towards inclusion, resource efficiency, climate change adaptation, disaster resilience, and disaster risk management.
Responsible Consumption and Production ❖ Achieve sustainable management and efficient natural resources use. ❖ Reduce per capita global food waste and food losses along production and supply chains. ❖ Substantially reduce waste generation through prevention, reduction, recycling and reuse. ❖ Encourage companies to adopt sustainable practices & integrate sustainability info into the reporting cycle. ❖ Ensure people have relevant info and awareness for sustainable development and lifestyles. ❖ Implement tools to monitor sustainable tourism that creates jobs and promotes local culture and products. ❖ Help developing countries to aid scientific / tech. capacity to move to sustainable consumption / production. ❖ Achieve sound waste management and sustainable public procurement practices. ❖ Remove fossil-fuel subsidies and market and tax distortions that encourage consumption.
Climate Action ❄ Strengthen resilience and adaptive capacity to climate-related hazards and natural disasters in all countries. ❄ Integrate climate change measures into national policies, strategies and planning. ❄ Raise capacity for real climate change-related planning / management in least developed countries (LDCs). ❄ Improve education / awareness on climate change mitigation, adaptation, impact reduction, early warning. ❄ Implement commitment by developed-countries to capitalize and operationalize the Green Climate Fund.
Marine Resources ♦ Reduce marine pollution especially from land-based activities including marine debris & nutrient pollution. ♦ Minimize and address the impacts of ocean acidification, including via enhanced scientific cooperation. ♦ Effectively regulate harvesting of fish and implement management plans, to restore sustainable fish stocks. ♦ Provide access to marine resources / markets for small-scale fishers; conserve 10% of coastal / marine areas. ♦ Stop fishery subsidies that contribute to overfishing with differential treatment for developing countries. ♦ Sustainably manage and protect marine and coastal ecosystems to avoid significant adverse impacts. ♦ Foster scientific know-how & transfer marine tech to improve ocean health & enhance marine biodiversity. ♦ Up LDCs econ benefit from sustainable marine resources via fisheries management, aquaculture, tourism.
Ecosystems and Biodiversity ✓ Conserve, restore and aid sustainable use of inland water ecosystems, forests, wet- dry- lands & mountains. ✓ Promote implementing sustainable forest management, halt deforestation, increase reforestation globally. ✓ Combat desertification, restore degraded land and soil and ensure conservation of mountain ecosystems. ✓ Take urgent action to reduce natural habitat degradation, halt biodiversity loss, protect threatened species.

Stream 1: Wicked Solutions to Wicked Problems
Interactive Session

- ✓ Introduce measures to reduce the impact of invasive alien species & control / eradicate the priority species.
- ✓ Promote equitable sharing of, and access to, benefits arising from the utilization of genetic resources.
- ✓ Integrate ecosystem / biodiversity values into planning, development of poverty reduction processes.
- ✓ End protected species poaching & trafficking; increase capacity to pursue sustainable livelihood openings.
- ✓ Finance resources to sustain biodiversity & ecosystems, forest management, conservation & reforestation.

Source: *UN Sustainable Development Goals*. Compiled from https://sustainabledevelopment.un.org/?menu=1300

Table 2: Stupid analysis of U.N. sustainable development goals for climate and environmental liveability

		Clean Water and Sanitation	Affordable Clean Energy	Sustainable Cities and Communities	Consumption & Production	Climate Action
Identifiable stupidity	Confident ignorance	Globally, decision-makers may had little contact with water & sanitation	Continued reliability of fossil fuels means one can ignore green energy	If a problem is not in one's backyard, one can go on and live life without	Collective action problem: individuals may feel they are helping enough.	Despite ample proof of human caused climate change there is still denial.
	Failures of attention	When failures like Flint Michigan occur it does come to the public's attention.	Political expediency & benefits from current tech mean alternatives are	Big city anonymity permits a lack of concern for community development.	Unless a failure to transport products or trash, we will not attend to this issue.	A setting where other issues take precedent
	Lack of impulse control	Old habits die hard. Home car washing even when knowing a commercial one is more ecological.	Looking at unknown potential of alternate energy sources vs. a sure bet on fossil fuels,	The not-in-my-back-yard reaction to undesirable but needed development	It is easier to throw something out & not sort through your recycling than research greener products.	Old habits die hard. Throw away society leaves us in a comfortable position to just dispose of items.
Functional stupidity	Being reflective	Little reflection over water use like toilet flushing but a big use impact.	A sure bet on fossil fuels beat the unknown potential of alternate energy.	We view this as an urban planners job over taking interest in the community.	We repeat purchase decisions based on product over packaging or recyclability.	Elected officials seek re-election over future generations' sustainability needs.
	Substantive reasoning	Out-of-sight, out-of-mind; more lack of attention to these resources than lack of substantive	Instead of a green energy industrial policy, officials resort to fossil fuel employment issues.	Unless there are not-in-my-back-yard issues we generally do not contemplate community	We repeat purchase decisions based on product content over recyclability or greener packaging.	The current cost for environmental improvement may outweigh the cost of the damaged future.
	Justification	There is a collective action problem with water & sanitation & a sense that there's no personal	Key justifications, if any, seems to the historic economic job base aligned with fossil fuels.	If we get involved in community development it is typically to provide for unique and	We repeat purchase decisions based on product content over recyclability or greener packaging.	Known current cost tends to outweigh unknown future benefit however expensive it may be.
Threat-rigidity	Restriction in information	When faced with the drinking water crisis, Flint officials were quiet enough to do irreparable damage.	In America fossil fuel execs impact authorities via info used to promote their own ends.	Again Flint Michigan is the object lesson here.	Our attention may be drawn more to jobs than ecologies and restricts what kind of info we	This means ignoring an immense amount of climate change data.
	Constriction of control	Michigan took over Flint & that control allowed for decisions out of public view.	Partial decision-maker access means alternative energy can't be	Again, Flint Michigan is the object lesson here.	In market-based societies this tends not to be a problem generally.	People in control will tighten their authority to override green efforts.

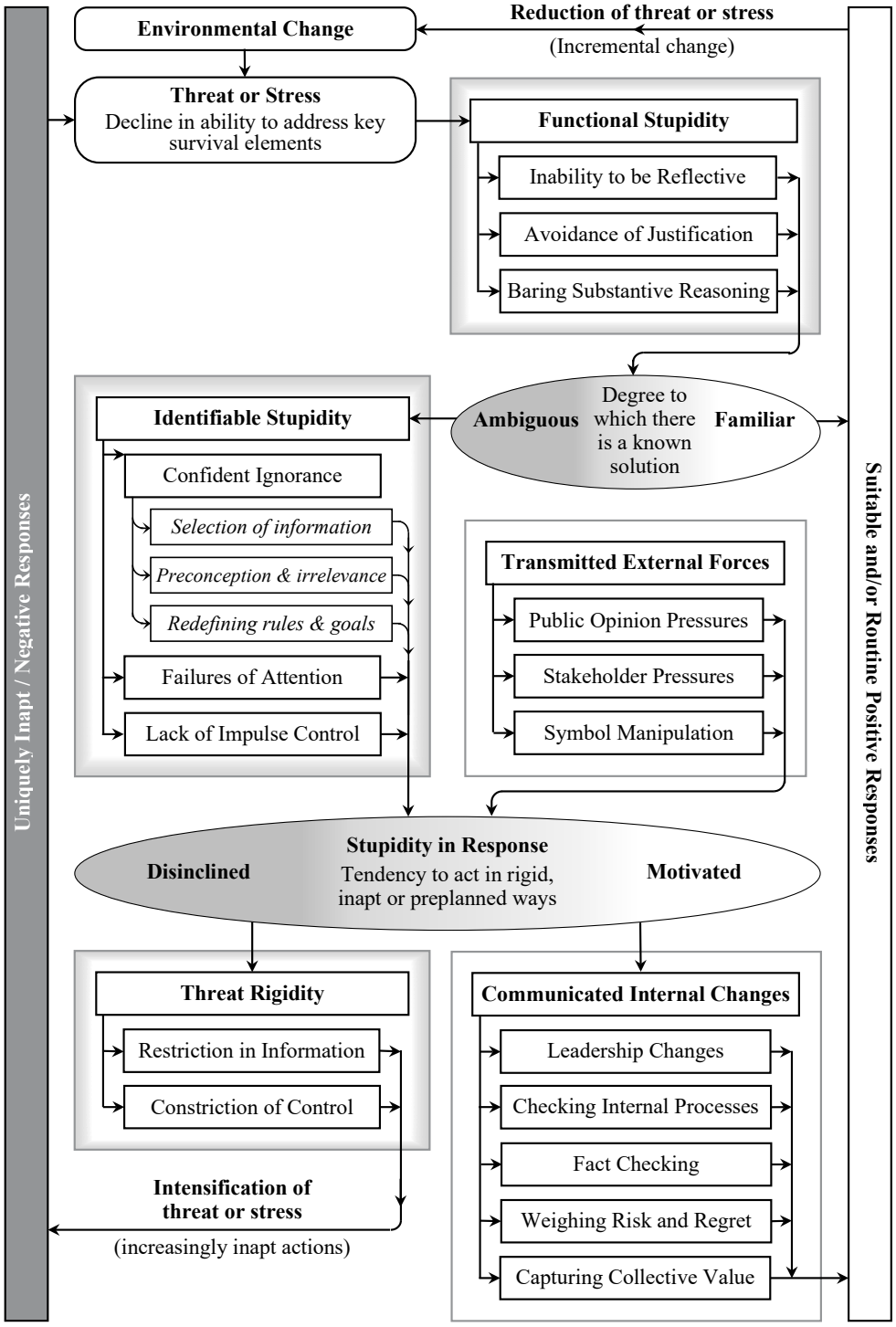
Stream 1: Wicked Solutions to Wicked Problems
Interactive Session

Marine Resources	Ecosystems and Biodiversity
A tragedy of the commons and activity here is away from authorities.	Processes involved may be so complex that we over-estimate our
Damage can occur before anyone realizes since activity occurs away	Species reduction may occur away from most people, thus gets ignored.
These resources are mostly there for the taking, & thus over-fishing can result in loss of the fisheries.	We' re better at not littering, but it does not mean we do not often toss out something we
If we don' t often see oceans we don't reflect on how our decisions impact	It is hard for urban dwellers to reflect on the unseen natural environ-
Out-of-sight, out-of-mind; more lack of attention to these resources than lack of substantive	Out-of-sight, out-of-mind; more lack of attention to these resources than lack of substantive
Not so much that we lack justifications but rather this is another out-of-sight, out-of-mind issue.	Not so much that we lack justifications but rather this is another out-of-sight, out-of-mind issue.
Activity is far from the public; agencies may not restrict info so much as the public may not	Public land use occurs far from the citizens and thus info may be hard to get.
Regulators duty to protect these re-sources may loose to fishers' needs.	Regulators duty to protect these re-sources may loose to industry' s needs.

Table 3: Stupid Fixes for U.N. sustainable development goals for climate and environmental liveability

	Clean Water and Sanitation	Affordable Clean Energy	Sustainable Cities and Communities	Consumption & Production	Climate Action	Marine Resources	Ecosystems and Biodiversity
Leadership changes	The need to wrestle influence away from transnational agencies and down to local spaces	The need to wrestle influence away from fossil fuel executives.	Local authorities need to respond to regional demands and international expertise.	Need for national governments to take the lead in regulating sustainable packaging.	Leadership in larger nations can affect change sufficient to make a significant difference	The international nature of this challenge makes leadership impacts difficult.	Processes involved may be so complex that we overestimate our knowledge.
Checking internal processes	Ongoing oversight and monitoring of technical innovations and local processes is critical.	Monitor & oversee acceptable industry processes is critical (e.g. B.P.' s Deepwater Horizon).	Need of local input / international know-how to insure a range of stakeholder needs are met	Educating producers and consumers on waste reduction in purchases and processes.	Continuing development of roll-out monitoring of new sustainable technologies.	Oversight and monitoring of at sea and on shore processes.	Species reduction may occur away from most people and therefore tends to get ignored.
Fact checking	Developments in water purification & desalination may bring a revolution here if properly implemented.	Developments in power generation & battery technology could bring a revolution if properly implemented.	Technologic, transportation and communication changes could alter the way we develop communities.	Learning what product and processes lead to more environmentally sustainable decisions.	Garnering reasonable consensus of the rate of climate change and optimal solutions is needed.	Getting reasonable data on pollution and development of technologies to address it.	We' ve gotten better at recycling but it does not mean that we do not often throw something out we should not.
Weighing risk and regret	Places with drying aquifers & where sea levels impact sanitation systems (or lack thereof) may be impacted and there will be health costs.	Weighing needs for fossil fuels against destruction caused by extracting oil from remote places (e.g. the artic) or in harmful ways (oil shale extraction).	Increasingly complex and unknown future technologies and social movements will have to allow urban design to be flexible for such changes.	Evaluating cost and return by governments regarding potential regulations.	The perceived battle between the economic, resource and environmental needs will need some balance.	The perceived battle between the economic, resource and environmental needs will need some balance.	It is hard for urban dwellers to reflect on the unseen natural environment.
Capturing collective value	The notion of water as a right will put demands on governments to provide this affordably and with tax dollar assistance	Coopting fossil fuel firms to be greener energy providers or employing their resources for other material uses will be critical.	Sustainable cities must address unobtainable affordable housing & develop recycling and sustainable transportation systems.	Designing systems that will provide incentives for sustainability (e.g. carbon taxes).	Redesigning markets to create incentives like carbon tax or special prices for solar power generation grid feed-ins are needed	As wild fish stocks decline, fish farming and the potential risks that go with it need monitoring.	Actually the construction control here could be of some benefit.

FIGURE 1: The stress-stupidity system



Stream Number 5: Human Resource Management

Delivered Session

Flexibility Stigma and Employee Outcomes: The Mediating Role of Flexible Work Practices Usage

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Stream Number 5: Human Resource Management

Delivered Session

Flexibility Stigma and Employee Outcomes: The Mediating Role of Flexible Work Practices Usage

ABSTRACT: *Little is known about the effects of flexibility stigma on employee outcomes. Using stigma theory, this study investigates the effect of flexibility stigma on employee wellbeing and turnover intentions. This study also investigates a mediating effect of FWP usage in this relationship. Using survey data from 293 employees of an Australian for-profit organisation, this study finds full support for the hypotheses that flexibility stigma has a negative effect on employee wellbeing and positive effect on turnover intentions. Full support for a negative effect on employee FWP usage is also found. Moreover, the results also support the hypothesis that FWP usage partially mediate the relationship between flexibility stigma and employee outcomes. Theoretical, research and practical contributions are discussed.*

Keywords: Flexibility stigma, FWP usage, wellbeing, turnover intentions.

Workplace practices designed to assist employees to balance various domains of their lives have become a topic of considerable interest to both researchers and practitioners. Among various work-life practices (e.g. flexible work schedule, maternity leave, unpaid and paid paternal leave, adoption assistance, on-site child care, childcare resource and referral), flexible work practices (FWPs) are increasingly used by employers to assist workers in integrating their work and personal life commitments (Hill et al., 2008; Brough & O'Driscoll, 2010; Galinsky, Bond & Sakai, 2008). A number of studies from UK, USA and Australia have identified a distinct incongruity between the availability of FWPs in an organisation and actual usage (Blair-Loy, Wharton, & Goodstein, 2011; Skinner & Pocock, 2014; Tipping, Chanfreau, Perry, & Tait, 2012). According to Australian Work and Life Index (AWALI report, 2014) around 24% of the survey respondents did not request for any of the FWPs although they were not content with their current employment arrangements (p.43). Prior research has supported that employees might not always feel free to use various work-life policies formally written on the organisational documents (Blair-Loy, 2003; Blair-Loy et al., 2011). The term

flexibility gap is used by Chung (2018) to explain the gap between the demand and actual usage of family-friendly policies. One of the key reasons identified behind this flexibility gap is the stigma from co-workers and managers related to flexible working as well as the perceived negative career consequences experienced by individuals using various FWPs. (Chung, 2018; Williams, Blair-Loy, & Berdahl, 2013). Flexibility stigma was found to have a negative effect on employee health, wellbeing, job satisfaction, work-life balance and turnover intentions (Cech & Blair-Loy, 2014; Cech & O'Connor, 2017; Chung, 2018). Stigma mechanism may affect employee outcomes via the usage of FWPs by employees.

This study advances the field of FWP literature in three ways. *Firstly*, using stigma theory (Jones et al., 1984) this study will explain the effects of stigma on various employee outcomes. *Secondly,* the indirect effect of FWP usage may elevate or reduce the effect of stigma on employee outcomes which is a missing link in the literature. *Finally,* the findings will stimulate awareness of hidden stigma in the workplace and thus facilitate organisations to create a favourable workplace culture for all employees.

THEORETICAL BACKGROUND AND HYPOTHESES

Flexibility Stigma and Employee Outcomes

The term *flexibility stigma* is used to describe 'negative sanctions toward employees who ask for or are assumed to need workplace arrangements to attend to family and personal obligations' (Cech & Blair-Loy, 2014, p. 89). This negative attitude arises from the concept of 'ideal worker' norm where the workers who use various FWPs are assumed to violate this norm (Perrigino, Dunford, & Wilson, 2018; Williams, 2000) and thus subject to stigmatisation. Ideal workers are expected to work long hours with total allegiance to the organisation and minimal interference from family responsibilities (Blair-Loy, 2003; Coltrane, Miller, Dehaan, & Stewart, 2013; Williams, 2000). Workers who use various FWPs for personal and family reasons are viewed as less committed, less productive and thus less professional (Cech & Blair-Loy, 2014; Cech & O'Connor, 2017; Chung,

2018; Epstein, Seron, Oglensky, & Sauté, 1999) and subject to various penalties such as negative performance appraisals, lack of career progress (Casper, Weltman, & Kwesiga, 2007; Hoobler, Wayne, & Lemmon, 2009), hiring discrimination (Acker, 1990) and co-worker dissatisfaction(Golden, 2007). The perception of flexibility stigma in the workplace is associated with lower levels of job satisfaction, work-life balance, wellbeing, job engagement and increase work-life spillover, stress and other health problems (Boyce, Ryan, Imus, & Morgeson, 2007; Cech, 2018; Cech & Blair-Loy, 2014; Cech & O'Connor, 2017).

Stigma theory (Jones et al., 1984) is used as a framework to predict the relationship between flexibility stigma and employee outcomes. Stigma is defined by Ragins, Singh, and Cornwell (2007) as 'socially undesirable, deviant or repulsive characteristics that discredit or spoil an individual's social identity (p. 1104).' According to Jones and colleagues, stigma initiates the attributional process, in which an individual's behaviour is interpreted and responded by others based on their stigma related to that behaviour. Stigma shapes an individual's identity, cognitions and behaviours in the workplace and other social environments (Levin & van Laar, 2006; Miller & Major, 2000; Ragins et al., 2007). Stigma theory seeks to explain how certain characteristics or experience is perceived by others as a stigma in a particular environment and the psychological and interpersonal effects of such stigmatisation (Crocker, Major, & Steele, 1998). Stigma generally stimulates negative attribution about an individual which leads to discrimination and devaluation. The effect of such stigma is twofold: *firstly*, employees will feel strained as they are unable to manage the personal and family demands. *Secondly*, they might put on an extra effort to signal their commitment and devotion to work. In both situations, there is a consequential negative effect on their wellbeing and positive effect on their intention to quit the stressful environment.

Past empirical evidence suggests that perceived stigma in the workplace has negative effects on employee satisfaction, engagement, work-life balance, general health and positive effect on turnover intentions (Cech & Blair-Loy, 2014; Cech & O'Connor, 2017; O'Connor & Cech, 2018). Thus it is proposed:

3

Hypothesis 1a. Flexibility stigma is negatively associated with employee wellbeing.

Hypothesis 1b. Flexibility stigma is positively associated with employee turnover intentions.

Evidence from prior research suggested that both men and women value workplace flexibility equally but are reluctant to use FWP policies because of the fear of career damage, lower earnings and lower performance evaluations (Blair-Loy, 2003; Blair-Loy & Wharton, 2004; Vandello, Hettinger, Bosson, & Siddiqi, 2013). Perception of flexibility stigma in the workplace discourages employees to utilise such practices because of the fear of marginalization and devaluation. The presence of flexibility stigma in the workplace acts as a deterrent to FWP usage even though such practices are available in national and corporate policies (Chung, 2018). The use of various work-life policies and schedule control by an individual itself is not stigmatised rather the reason why individuals use such policies triggers the negative sanction. Individuals who seek work-life accommodations for family reasons are stigmatized more than for managing individual and business needs such as personal health and to increase work performance (Berdahl & Moon, 2013; Leslie, Manchester, Park, & Mehng, 2012). FWP usage, especially for family or personal reasons, is viewed as a violation of 'ideal worker norm' and attracts career repercussions and stigmatization from managers and co-workers. Awareness of stigma makes the work environment stressful for the employees who require schedule arrangements for balancing work and non-work demands (Cech & O'Connor, 2017). As a result, they are unlikely to take advantage of various FWPs even though they are entitled to because of hidden and subtle stigma (Blair-Loy & Wharton, 2002). Prior empirical evidence conceptualised *stigmatisation* focusing primarily on the individual experience of penalties associated with various FWP usage and thus restrain individuals from using such practices (Blair-Loy & Wharton, 2002; Perrigino et al., 2018). Thus it is proposed:

Hypothesis 2. Flexibility stigma is negatively associated with FWP usage.

Mediating Role of FWP Usage

Past research has not tested the mediating role of FWP usage in the relationship between flexibility stigma and employee outcomes such as wellbeing and turnover intentions. However, because flexibility stigma is associated with FWP usage, it serves as an important mediating mechanism between flexibility stigma and employee outcomes. Individuals who perceive stigma related to the usage of FWPS, will not take advantage of such practices which will negatively affect their wellbeing and positively affect their intention to quit the organisation. Flexibility stigma, of course, may impact employee outcomes through other mechanisms such as managerial support, co-worker use, parental status, gender (Cech & Blair-Loy, 2014; Chung, 2018; Chung & van der Horst, 2018). Thus it is proposed:

Hypothesis 3a. FWP usage partially mediates the relationship between flexibility stigma and employee wellbeing.

Hypothesis 3b. FWP usage partially mediates the relationship between flexibility stigma and employee turnover intentions.

Insert Figure 1 about here

METHODS

A cross-sectional research design was used to test the predictions. Data were collected through an employee survey administered in 2019 in a renowned Queensland organisation which operates in the financial and insurance service industry.

Sample and Data Collection

The population of the study comprises employees of for-profit organisations in Australia. The initial sample frame was 2300 employees of the participating organisation. The study samples all employees from all 11 business divisions of the respective organisation. In mid-January 2019, an online survey link was sent to the HR representative of the organisation to forward to all employees.

Data collection was conducted for 3 weeks from mid-January to the first week of February. The final sample is 293. The survey response rate is 12. 74% including only fully completed responses. Partly completed responses (198 in this case) were not included. The low employee response rate can be attributed to factors such as over-surveying of employees which results in survey fatigue (Baruch & Holtom, 2008; Weiner & Dalessio, 2006), sensitivity of the research topic (Rogelberg & Stanton, 2007) and possible non-relevance of the study topic for many employees (Baruch & Holtom, 2008).

Measures

Predictors

Flexibility stigma was measured using three items scale developed by Cech and Blair-Loy (2014) with a reported reliability of 0.66. The Cronbach's alpha for the current study is 0.67. A representative item of the scale is "Female employees who have young or school-aged children are considered to be less committed to their careers than colleagues who are not mothers." Responses were reported on a 5- point Likert scale ranging from 1 *(strongly disagree)* to 5 *(strongly agree)*. The mean of the responses to the three items indicated the level of perception of perceived stigma in respondents where the higher score demonstrated higher levels of stigma.

Outcomes

Employee wellbeing was measured using three items scale to represent *distress* developed by Nomaguchi, Milkie, and Bianchi (2005). Distress includes three items asking employees, for example, "How often are you bothered by minor health problems such as headaches, insomnia, or stomach upsets?" Responses were categorized on a 5-point Likert scale ranging from 1(*very often*) to 5 (*never*). Cronbach's alpha for these three items was 0.74 for the original study and 0.78 for the current study. The mean of the responses to three items indicated the level of wellbeing of a respondent where higher score refers to greater wellbeing.

Employee turnover intentions was measured using a three items scale used by Brough et al. (2014) with a reported reliability of 0.85. The Cronbach's alpha for the current study is 0.89. A

representative item of the scale is " How often do you actively look for jobs outside your current job?". Responses were measured on a 5- point Likert scale ranging from 1 (*never*) to 5 (*almost always)*. The second item of the scale is "how likely are you to leave your job in the next six months?" which was coded using 1*(very unlikely)* to 5 *(very likely)*. The mean of the responses to three items indicated the level of turnover intentions where the higher score demonstrated higher levels of turnover intentions in respondents.

Mediator

Usage of FWPs was measured using 12 items. Eight items such as flexitime, part-time work, casual work, compressed work-week, part-year work, job sharing, teleworking, voluntary reduced time were borrowed from Kossek and Michel (2011). Four items such as flexible holidays, purchased leave, ad hoc flexibility and time off in lieu were added as per the participating organisation's FWP policy which was designed according to the national policy. Respondents selected the types of practice they have used in the past 12 months. The response options were yes (1) or no (0). An FWP usage score was calculated by adding the total number of "yes" responses for each item. The maximum score for usage is 5 while the minimum is 0.

Controls

The analyses controlled for the effects of several demographic variables such as age, gender, salary, tenure, partner status, caring responsibility and managerial responsibility which might have an effect on employee FWP usage and work outcomes (Chen & Fulmer, 2018; Lambert, Marler, & Gueutal, 2008; Leslie et al., 2012; Richman, Civian, Shannon, Hill, & Brennan, 2008). Several dummy variables are created for gender (0=male, 1=female), partner status (0=no partner, 1=with a partner), managerial responsibility (0=no managerial responsibility, 1= with managerial responsibility) and caring responsibility for anyone other than own children (0=no, 1=yes). Tenure is a continuous variable measured in years. Age is a categorical variable used to create two dummy variables: age under 35 years and age over 45 years. The reference group is 35 years to 45 years. Two dummy

variables for salary are also created for a salary under 55k and salary over 100k while 55k to 100k is the reference group.

RESULTS

Table 1 presents the means, standard deviations and correlation coefficients for all variables. There is low to moderate correlations between the variables.

Insert Table 1 about here

We used hierarchical multiple regression to test H1a, H1b and H2. To test H1a, employee wellbeing was regressed on control variables and flexibility stigma (see Table 2). The results indicate that flexibility stigma has a significant negative effect on employee wellbeing (B = -.133, $p < .05$). Thus, H1a is fully supported.To test H1b, employee turnover intentions was regressed on controls and flexibility stigma (see Table 2). The results indicate that flexibility stigma has a significant positive effect on employee turnover intentions (B = .188, $p < .05$). Thus, full support for H1b is found. To test H2, FWP usage was regressed on control variables and flexibility stigma (see Table 2). The results indicate that flexibility stigma has a significant negative effect on FWP usage (B = -.141, $p < .05$). Thus, H2 is fully supported.

Insert Table 2 about here

To test the mediation hypothesis H3a and H3b, we used the Process macro (Hayes, 2018) which uses ordinary least square regression including the bootstrap method for inferences. The simple mediation model (Model number 4) of the process macro was used to test H3a and H3b. The analysis controlled for gender, age, partner status, salary, tenure, managerial responsibility and caring responsibility. Table 3 presents the results of the analysis with detailed total effects, direct effects and indirect effects. The results indicate that flexibility stigma had a significant negative effect on

employee wellbeing via FWP usage (B = -.021, LLCI -.053, ULCI -.001). The results also indicate that flexibility stigma had a significant positive effect on employee turnover intentions via FWP usage (B = .035, LLCI .004, ULCI .076). As the 95% bootstrap confidence intervals based on 5000 samples did not include a zero, it can be said that FWP usage partially mediated the negative relationship between flexibility stigma and employee wellbeing as well as the positive relationship between flexibility stigma and employee turnover intentions. Thus, full support for H3a and H3b is found.

Insert Table 3 about here

DISCUSSION

The main objectives of this study were to investigate whether: flexibility stigma is negatively associated with employee wellbeing and positively related to turnover intentions, flexibility stigma is negatively associated with FWP usage, and FWP usage mediates the relationship between flexibility stigma and wellbeing and turnover intentions. The findings of this study provide some evidence for these relationships.

Direct Effects

This study found full support for a negative relationship between flexibility stigma and employee wellbeing was found. The findings of this study contribute to the work-life literature by advancing the knowledge of the effects of workplace flexibility stigma on employee outcomes. The results indicate that employee wellbeing will be negatively affected if they perceive stigma regarding the use of various FWPs. This result is consistent with prior research that found a negative relationship of flexibility stigma with stress, minor health problems, sleep quality, negative work-life spillover and psychological health (Boyce et al., 2007; Cech & Blair-Loy, 2014; Crocker, 1999; Major, Quinton, & McCoy, 2002).

This study also found full support for a positive relationship between flexibility stigma and employee turnover intentions. The findings of this study will extend the scholar's understandings of the effects of the workplace flexibility stigma on employee outcomes. The results indicate that employees who perceive flexibility stigma will be more likely to consider leaving the job. This result is consistent with previous research that found a positive relationship between flexibility stigma and employee turnover intentions (Cech & Blair-Loy, 2014; Stone & Hernandez, 2013).

This study found full support for a negative relationship between perceived flexibility stigma and FWP usage as hypothesized. The results of this study again advancing knowledge of the effect of flexibility stigma on employee FWP usage. The result indicates that employees who perceive the existence of stigma at the workplace are feeling discouraged to use such practices. The use of FWPs will be viewed as a signal of low commitment by managers which will lead to negative career consequences. Employees who use FWPs for family or personal reason is assumed to violate idea-worker norms and thus attract career penalties. As a result employees will be demotivated to take advantage of such practices. This result is consistent with prior studies that found a negative relationship between flexibility stigma and FWP usage (Kirby & Krone, 2002; Leslie et al., 2012; Perrigino et al., 2018)

Mediation Effects

This study found partial support for the mediation effects of FWPs. The results of this study provide pioneering evidence for the effects of flexibility stigma on employee outcomes: negative effect on wellbeing and positive effect on turnover intentions via FWP usage as a mediator. In other words, flexibility stigma determines FWP usage which in turn leads to higher employee wellbeing and lower employee intention to quit the organisation. Although no prior research has tested such mediation effects, the findings are consistent with some past research that found negative effects of stigma on employee usage of FWPs. Employees, especially men, are reluctant to use FWPs although they need and are supportive of the policies (Cech & Blair-Loy, 2014; Kirby & Krone, 2002; Vandello et al., 2013).

Theoretical Contributions and Research Implications

The results of this study have various theoretical and research contributions. The findings support the argument of stigma theory (Jones et al., 1984) which explains the effects of stigmatisation of certain behaviour in an organisation and its subsequent effects on employee outcomes. FWP usage is viewed by others as deviant behaviour. The study's finding extends the stigma theory by suggesting that all employees who use FWPs are subject to negative sanction irrespective of their motive for such usage (Cech & O'Connor, 2017).

This research will advance the understanding of the complex dynamics of work redesign and the effects of various contextual factors. Additional contextual factors such as length of FWP usage, nature of FWPs used, co-worker usage, tenure, managerial responsibility, employee gender and lifestyle can help to understand whether these models differ in various organisational and cultural settings (Cech & Blair-Loy, 2014; Lambert et al., 2008).

Practical Contributions

This study has several practical implications as well. The findings will assist employers to understand the significance of the hidden stigma in the workplace which prevents the usage of available work-life policies by employees. This knowledge will help to foster a favourable work climate for all employees (Cech & Blair-Loy, 2014). Additionally, employers can understand how stigmatisation affect work behaviour and the coping strategy of the stigmatised individual (Boyce et al., 2007) which will help in effective utilisation of the employees (Chung, 2018). On the other hand, employees who are not currently utilising any FWPs and thus not affected by or aware of any stigma in the workplace but intend to use them in future can advocate for favourable workplace culture.

LIMITATIONS

This study has a few limitations. *Firstly,* the analysis relied on cross-sectional data which is a threat to causality (Eaton, 2003). Longitudinal data may provide a different result as the length of policy use can reduce stigma (Cech & O'Connor, 2017). *Secondly,* the study did not take into account the parental status of the respondents which is strongly related with flexibility stigma as evident from prior research (Chung, 2018) although there are strong counter-argument that flexibility stigma affects all employees irrespective of gender or parental status (Cech, 2018; Cech & Blair-Loy, 2014; Cech & O'Connor, 2017). *Finally,* this research did not take into account a few demographic factors mentioned in stigma literature such as race, ethnicity as well as various organisational factors such as managerial support, organisation size and type which may influence the relationship between flexibility stigma and employee outcomes differently (Van der Lippe, Van Breeschoten, & Van Hek, 2019).

CONCLUSION

The findings of this study illustrate the importance of understanding the deep-rooted cultural values of work devotion which explains the underutilisation of FWPS in an organisation. The flexibility of work itself is not stigmatised rather the perception of its use for family or personal reason is. The findings of this study will serve as an example that silent and often ignored workplace culture may have serious consequences for everyone. To get the expected benefit of various FWP policies, this silent but important workplace characteristics should be considered by the organisations.

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Figure 1: Research Model

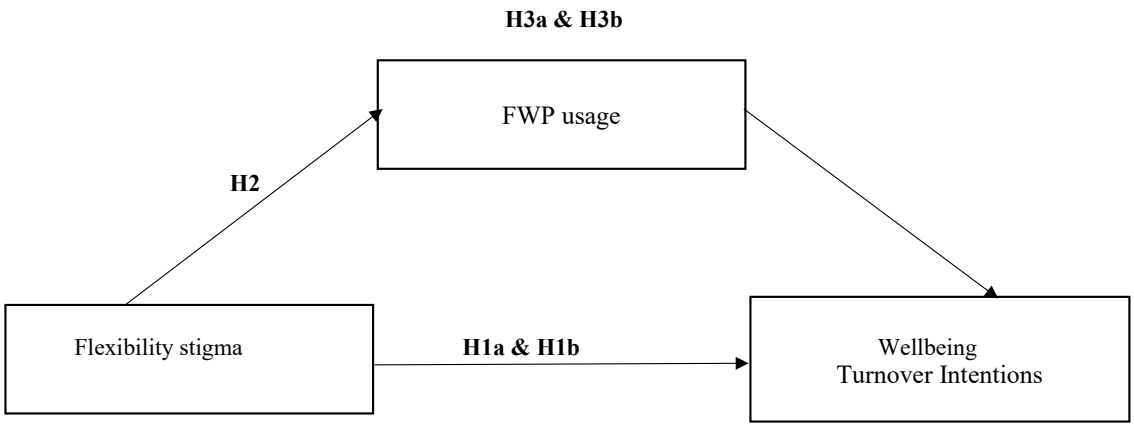

Table 1: Means, Standard Deviations and Correlations[a]

Variables	Mean	SD	1	2	3	4	5	6	7	8	9	10	11	12
Controls														
1. Partner status	.81	.39												
2. Gender	.70	.46	-.01											
3. Age under 35 years	.31	.46	.06	.01										
4. Age over 45 years	.35	.48	.05	-.02	-.49**									
5. Salary under 50k	.16	.36	-.12*	-.08	.06	.08								
6. Salary Over 100k	.31	.46	.02	.23**	-.25**	.07	-.29**							
7. Managerial responsibility	.18	.39	.19**	.06	-.15*	.07	-.21**	.41**						
8. Tenure	6.72	6.62	.08	-.02	-.26*	.40**	-.10	-.09	.06					
9. Caring Responsibility	.08	.28	-.01	-.00	.02	.12*	.15*	-.06	-.05	-.03				
Predictor														
10. Flexibility Stigma	2.55	.81	-.02	-.01	.01	-.05	.012	-.06	-.04	.05	.02			
Mediator														
11. FWP Usage	1.24	1.01	-.06	-.05	-.01	-.11	-.13*	.33**	.13*	-.07	-18**	-.13*		
Outcomes														
12. Wellbeing	2.97	.89	-.07	-.18**	.14*	-.14**	.04	-.13*	-.06	.08	-.04	.14*	-.15**	
13. Turnover Intentions	2.59	1.07	-.01	.07	.11	-.09	.06	-.12*	-.12*	.01	-.11	.15**	-.23**	.37**

[a] 2-tailed; *$p < 0.05$, **$p < 0.01$

Table 2: Regression Results for Flexibility Stigma and Employee Wellbeing, Turnover Intentions and FWP Usage -H1a, H1b and H2

Variables	Wellbeing			Turnover Intentions			FWP Usage		
	B	t	p	B	t	p	B	t	p
Controls									
Partner status	.15	1.13	.26	.03	.19	.85	-.17	-1.20	.23
Gender	.31	2.76	.01	.22	1.62	.11	-.28	-2.29	.02
Age under 35 years[a]	-.19	-1.45	.15	.14	.85	.40	.09	.61	.55
Age over 45 years[a]	.25	1.91	.06	-.12	-.76	.45	-.21	-1.45	.15
Salary under 50k[b]	-.08	-.56	.58	.15	.82	.41	-.05	-.29	.78
Salary Over 100k[b]	.05	.38	.70	-.17	-1.09	.28	.79	5.51	.00
Managerial responsibility	.02	.13	.90	-.20	-1.12	.26	.00	.01	.10
Tenure	-.02	-2.46	.01	.01	.66	.51	.00	.22	.83
Caring Responsibility	.10	.53	.60	-.49	-2.15	.03	-.53	-2.63	.01
Predictor									
Flexibility stigma	**-0.13**	**-2.13**	**0 .03**	**0.19**	**2.47**	**0.01**	**-0.14**	**-2.09**	**0.04**
Model Summary									
R^2	0.10			0.08			0.18		
F	4.52*			6.10**			4.36*		

n=293.

Unstandardized regression coefficients are reported; *$p < 0.05$, **$p < 0.01$.

[a] Dummy coded, Age 35 to 44 years is the reference group.

[b] Dummy coded, Salary $55k to $100k is the reference group.

Table 3: Regression Results for Simple Mediation- H3a & H3b

	Wellbeing			Turnover Intentions		
	B	t	p	B	t	p
Total Effect						
Total effect of flexibility stigma (c)	-.134	-2.126	.034	.188	2.470	.014
Controlling for partner status, gender, age, salary, managerial responsibility, tenure, and caring responsibility.						
Direct Effect						
Direct effect of flexibility stigma (c')	-.112	-1.793	.074	.153	2.045	.042
Controlling for partner status, gender, age, salary, managerial responsibility, tenure, caring responsibility and FWP usage.						
Indirect Effect						
Controlling for partner status, gender, age, salary, managerial responsibility, tenure, and caring responsibility						
Indirect effect of flexibility stigma via FWP usage	Effect	LLCI	ULCI	Effect	LLCI	ULCI
	-.021	-.053	-.001	.035	.004	.076

n= 293. Unstandardized regression coefficients are reported.

Bootstrap sample size = 5000 bias corrected; LL = lower limit, CI = confidence interval, UL = upper limit, level of confidence 95%.

Exploring the relationship between Financial Literacy and Citizen Participation in Investment. Moderating role of Government Website Use.

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Introduction:

Citizen participation in worthy investment is a pain points for public without any authentic information, financial literacy, financial trust, knowledge, investment and financing experience. Before take part in any activity related with investment we need to gathered information and make decision related our investment. Citizen participation in Investment is not an easy task. It is one of the hard and tough job. That's the reason many of factor relate with investment decision making process. Due to financial literacy, trust and valid information we can enhance the citizen participation in investment and also can control and minimize the effect on decision making process. Citizen participation in investment is very necessary for the development of country and also for government because without citizen government cannot perform well. However, Government must require citizen participation and trust to ensure the achievement of public action and to obtain their advantage for the public (Kolsaker & Lee-Kelley, 2008). For investment People try to get the information from all possible ways, for example (family members, friends, agents, financial reports etc.), but sometime is hard to trust on another one. The main reason is when a person s/he invest his/her money, they do not only invest money but they also invest of full life savings. Thus on the base of trust we can rely on someone and minimize the risk. Warren Buffet said, The Trust is necessary to be in the same way as air is necessary for breathing. When it is present no one worry but everyone notice when it is absent (Sandlund, 2002). Hence we need a reliable way for trustworthy information. Trust play a central role in investment. Without financial literacy and authentic information it’s difficult to manage other aspects. All these aspect vary people to people. Earlier many of studies examined the impact of financial literacy and related factor on different type of investment decision, citizen security, saving decision, capital market and retirement plan (Awais, Laber, Rasheed, & Khursheed, 2016; Bashir, Arshad, Nazir, & Afzal, 2013; Brown & Graf, 2013; Ciemleja, Lace, & Titko, 2014; Janor, Yakob, Hashim, Zanariah, & Wel, 2017; Jappelli & Padula, 2013; Masini & Menichetti, 2012; Seth, Patel, & Krishnan, 2010), genetic variation in decision making (Cesarini, Johannesson, Lichtenstein, Sandewall, & Wallace, 2010).

It is curious to mention here this paper makes more than a few contribution. We first declare that existing sources of information gathering are worth mentioning best, but people change their lifestyle over time and demand new technology. Due to modern investment people require easy to access and new technology equipment for valid and trust able information. This is new one study that is addition in the literature of financial literacy and meliorate the literacy level of investor. Moreover also provide the new place of trustworthy information. More exactly in this study check the moderating role of government website use between financial literacy and citizen participation in investment. How government website use inflate the literacy level of people. Most of the researcher examined the relationship between financial literacy and investment decision. But this paper observe the impact of financial literacy and financial trust on citizen participation in investment, As per my knowledge no anyone has check their relationship between financial literacy and citizen participation in investment before today. This is a uniqueness of this study. In more depth research out that people prefer to use the government website in daily life and also to which type of investment like long term or short term, bonds or shares.

As mentioned behavior finance theory investor is a Human and every Human have different skills, knowledge and attitude, and they treat according to them. In different scenario they behave and make decision differently. As a matter of probability, if something is important for me and greatly influence my decision, may be it will not be for anybody else. Investor face extremely complex factors and difficulties during the process of investment decision making like collection of valid information, minimize the level of risk, maximize the choice, dissatisfaction and financial trust. Trust and financial literacy is a most important segment of social capital and key factor for economy development. Many of precedent research has established a significant relationship between trust, financial literacy and economic growth (Knack & Keefer, 1997; Lusardi & Mitchell, 2014; Temple & Johnson, 1998; Zak & Knack, 2001). This is a responsibility of government to increase the trust of people on government institute and government website, moreover communicate to people how they can use in better way and can get better information. In present days it is easy and difficult for government. If they use of technology in right direction then they

can build trust easily. But if they do not use properly it can unsafe for government and economy. With the help of technology, internet and website use government can communicate easily and build the trust of public on government websites and institute. As mentioned previous studies, Government sector of Management and information has tried best to convey the right information through (government website) and Supply of web services (Musso, Weare, & Hale, 2000), to public for improve their knowledge.

Literature Review:

Financial Literacy:

Financial literacy is worthwhile. Especially when we need to make decision and participate in investment. Everybody have not the same perception about financial knowledge nonetheless, it is perceptible from literature that financial literacy can be used to knowhow of mathematical aptitude and financial words. According to this sense, those people aged fifty to sixty, businessman, experienced investor, professionals, owner of organization and University or college graduate are financially literate (Worthington, 2001). But yet many scholars have a lot of different thoughts and perception about their financial literacy. According to another researcher financial literacy can also be described as People eligibility to maintain their best short and long term benefits for financial decisions (Mandell, 2008). In other respects by Organisation for Economic Co-operation and Development, 2005 (OECD) deliberated a delineation of financial literacy, it is an arrangement of awareness, knowledge, attitude and behavior to make mutual financial opinion, and finally to get individual monetary prosperity. Financial literacy link with wide range of investment decision like, participation in stock market, capability to ignore high level of risk, obligations and variety of portfolio (Guiso & Jappelli, 2008; Kimball & Shumway, 2006; Lusardi & Tufano, 2015; M. Van Rooij, A. Lusardi, & R. Alessie, 2011).

If we knock around the world, majority of people do not have acquaintance about investment and financially illiterate. Number of scholars have already verbalized about this. In the past 10 to 15 years, researchers began to think about financial literacy and its importance. First of all, this research was conducted in

developed countries like United States of America, Australia and United Kingdom. They believe that citizen financially knowledge and participation is very necessary for itself and development of economy. Thus if people do not participate in investment due to lack of literacy, they will prefer to save and this thing harm for stock market. A scholar prove that, Financial literacy gives people awareness about investments, otherwise people prefer to savings (Clark & Schieber, 1998; Gustman & Steinmeier, 1999).

In Australia the first study of financial literacy was conducted in 2004 by Common wealth Bank Foundation. The aim of this study was analyzed the impact of financial literacy on individual. The research found that those who have low level of financial literacy, not capable to pay their utility, phone and credit card bills. Those who have literate have more income and have ability can increase nearly 10 percent of income annually (Foundation, 2004). A lot of people cannot make plan about retirement due to the low level of financial information (A. Lusardi & O. Mitchell, 2007; A. Lusardi & O. S. Mitchell, 2007) . (Hogarth & Hilgert, 2002), analyzed the relationship among financial literacy of adult and personal financing. The results of study show that people who have low level knowledge are single, uneducated, low income and unmarried. Additionally One more researcher analyze the impact of age and family type on household capital in United States of America (Schmidt & Sevak, 2006). They also investigate the wealth differences between a female head family and married couples. They find out wealth holding a male comparatively higher than a female remaining all factor same such as education, knowledge and income level. Some of study support to above results, male better participate than female in financial decision (Arrondel, Debbich, & Savignac, 2013; Kharchenko, 2011).

Government Website Use:

Authentic information, financial literacy and trust is essential for citizen participation in meritorious investment. Without potent information how someone can invest anywhere. This is a main problem they do not have idea when how and where should invest. If some of people have knowledge but still they do not want to participate in financial and other activity because they do not have trust and source of information.

People do not like to cast vote due to lack of trust, but they engage through another activities (Luks, 2001). High level of financial trust and knowledge about financing provide better opportunity for citizen to participate in investment. Citizen participation in blameless investment is not a less than challenging without any valid information, financial trust and literacy. Many of people suffer losses due to lack of financial knowledge and information. In order to successfully investment, the financial knowledge should be expanded and better (Agnew & Szykman, 2005).

After the culmination of the job, each man would have thought of his wellsprings of income since they can't rely upon another one. That is the reason individuals make arrangement about speculation and endeavor to assemble the information from various reliable source. In this way the level of financial literacy increase automatically. More than a few researcher investigate the link among financial literacy and retirement plan intention (Arrondel et al., 2013; Fornero & Monticone, 2011; A. Lusardi & O. S. Mitchell, 2007; Lusardi & Mitchell, 2011b; Lusardi & Mitchelli, 2007; M. C. Van Rooij, A. Lusardi, & R. J. Alessie, 2011). Findings of all scholars has proved that have a positive connection among retirement plan intention and financial literacy.

Various scholars examine the relation between religion beliefs and financial investment decision. Some scholar discovered that they have a significant relation and some of found insignificant relationship. (Renneboog & Spaenjers, 2009) investigate the affiliation between religiosity and financial decision. They find out those who belong to religions do not like to financing in risky investment, they prefer to save money. (Hess, 2012) argue that, religious have highly significant effect on financial decision. (Weaver & Agle, 2002) analyze that moral performance effect by religion beliefs. Another researcher analyze the positive relation between individual religion beliefs and risk aversion (Hilary & Hui, 2009).

Subsequent to perusing the literature, we have achieved the end that there is as yet a gap in literature. Individuals are changing way of life gradually and steadily. They do not want to continue previous life style and related things like financial instrument and way of knowledge etc... Today is the electronic era. People

prefer to use the media and internet. They have trust on technology and believe that it is fast and reliable then other sources. Those people have a higher level of financial literacy, who choose media as a basic financial agent and who had bank account (Sohn et al., 2012). If we talk about government website, this is easy to use, secure and trustworthy. Around half of the world depend on government institution (Bannister & Connolly, 2011; Excellence, 2012). The prior study has discussed the role of electronic media such as website, regarding government administration transparency and interactivity (Judith Harris DBA, 2009; Sadeghi, 2012; Searson & Johnson, 2010; Welch & Hinnant, 2003). For measured the quality of government website (Scott, 2006) divide into four different portion, first one is no communication and services, second is information flow from one side, third is two way interaction and last one is full services transaction. With the help of electronic media and website government tries to better operate its work and obligation for citizen. Communicate with citizen through website it is easy and effective for government. In the favor of website (Searson & Johnson, 2010) pinpoint the benefits of government website use. They declared that, Government Website provides the best way of two side communication among citizen and government, it enhance the interactivity, usability and transparency. According to United Nation, Electronic government refers to such a system through which Government reaches its services and information to the public (Nations, 2012). Use of Government website play a central and remarkable role of two-way communication among public and governance. People can easily get the information because of government website. Even more people have trust on it. Government website usage increases the literacy and trust level of people. The benefits of financial literacy are that it is a reduction in the cost of processing of information and Minimize barriers to invest in stock market (Haliassos & Bertaut, 1995). Moreover people prefer to participate in investment due to government website.

Methodology:

Content Validity:

Data was collected through a survey directed to a sample of investors of different organizations, financial institutions and also from students of finance. The variables items were pre-tested for conformation and

most of the important for validity and clarity of the items. In order to achieve this ambition adapt the items of variables from Valid and reliable literature. Authors have interviewed with the managers of financial institutions to ratify the validity. For more confirmation, a survey was in view of by different professors of various universities to check out the validity. They were fully occupied to scrutinize that the number of items was appropriate to signify the elucidation of this study. As a final point, the survey was pilot tested with 40 Investors. For the period of Pilot testing, Authors faced almost 15 participants of different organization and financial institution, also exchange views on all measurement items of variables. The opinion was asked about the measurement items of variables and changes of the questions that were needed to simplify the questions. Finally, the required measurement items and description reshaped or abolished from the survey to decrease misunderstanding and improve the transparency.

Questionnaire and Measures:

The survey encompassed of five segment: (1) financial literacy (2) financial trust, (3) citizen participation in investment (4) government website use, and (5) target demographic information. The variables items were pre-tested for conformation and most of the important for validity and clarity of the items. In order to achieve the reliability and validity, adapt the items of variables from Valid and prior literature. Authors have interviewed with the managers of financial institutions to ratify the validity. For more confirmation, a survey was in view of by different professors of various universities to check out the validity. More in detail for inspecting the financial literacy level our research has been taken the measurement items from the Organization of Economic Cooperation Development (OECD) results of 2012 survey. Five questions have been considered to test the financial literacy level of citizen. These questions contained different exposure of knowledge such as knowledge of simple division, knowledge of money management and budgeting, time value of money, inflation also simple and compound interest calculation. These questions was enough to know the basic knowledge of any person. According to this study, these questions also provide basic

knowledge of investment. Financial trust (e.g., in general government website is a trusted tool, trust decline with age) were measured with four items scale adapted by (Khasawneh, Rabayah, & Abu-Shanab, 2013; Venkatesh, Morris, Davis, & Davis,

2003). The measures for government website use (e.g., I look at government website for investment, the information is trustworthy delivered by government website) with six items scale were adapted from earlier valid literature (Hart/Teeter, 2001; Khasawneh et al., 2013; Venkatesh et al., 2003). Behavior intention to use government website use (e.g., I intend to use government website in the future) also were measured with three items adapted by (Khasawneh et al., 2013; Venkatesh et al., 2003). All variable items were measured on five-point Likert type scale (1=strongly disagree and 5=strongly agree). Finally, various questions were asked to gather the basic information of participant such as, sex, age, education level, income, occupation, and investment experience.

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Stream Number: 5 Human Resource Management

Delivered Session

Title: Providing insight into Human Resource Management solutions by understanding the psychological contract and employee engagement.

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ABSTRACT

This exploratory research drew upon an extensive review of the literature to review the relationship between the psychological contract and employee engagement. Semi-structured interviews of employees in a regional government entity were conducted, all participants had been with the organisation for less than two years. The study identified some differences for leaders in relation to the psychological contract experience. The study found that unmet expectations or perceived psychological contract breaches for leaders were associated with greater opportunities for development. The provision of a realistic job preview enables potential employees to make the best career decisions. The relationship between employee engagement and the psychological contract was considered between the two topics and their contribution to achieving human resource management solutions.

Keywords: Employee engagement, job engagement, organisational engagement, psychological contract, careerism, organisational commitment.

INTRODUCTION

This exploratory research project considers employee engagement and provides a critical assessment of its relationship with aspects of psychological contracts. This research assesses employee engagement and features of the psychological contract with employees from a regional government entity. The aim of this study was to consider the features of the psychological contract (recruitment experience, perception of the recruitment process, intentions and motivations, contract versus non-contractual aspects) to understand expectations set by the employer and understood by the employee. This study drew upon the research of Saks (2006) and Rousseau (1990) and also sought to understand aspects of work experience beyond the contract that may influence employee engagement. This study was undertaken as a result of a recognized gap in the literature in terms of the relationship between the two topics. This article focuses on nineteen semi-structured interviews and the insights gained from these discussions.

EMPLOYEE ENGAGEMENT DEFINED

Employee engagement is of interest to Human Resource practitioners and organisations, as an engaged workforce has been linked to positive employee attitudes, innovative practices, higher productivity and performance and reduced costs from employee turnover. According to Saks (2006) the interest in employee engagement is driven by the link to positive organisational results. According to Błażej (2018) "forty-eight studies found a statistically significant relationship between employee engagement and task performance". Robbins, Judge, Millett, and Boyle (2017) indicate that employee engagement relates to an employee's connection with their organisation, it provides a sense of fulfilment and generates interest in completing the assigned work, suggesting that high levels of engagement foster's a profound connection and commitment to the organisation. According to Saks (2006) employees' repayment to their organisation is through their engagement. The premise is that relationships evolve over time under agreed rules of exchange. Saks (2006) provides a summary of employee engagement:

> It has been defined as a distinct and unique construct that consists of cognitive, emotional, and

behavioral components that are associated with individual role performance. Furthermore, engagement is distinguishable from several related constructs, most notably organizational commitment, organizational citizenship behavior, and job involvement (p. 602).

PSYCHOLOGICAL CONTRACTS DEFINED

Another key concept in discussions of the employee experience is the idea of a psychological contract. A simple definition as stated by Aggarwal and Bhargava (2009) is "the psychological contract refers to what an employee owes to the organisation and what can be expected from the organisation in return" (p. 5). A study by Sonnenberg, Koene, and Paauwe (2011) stated that psychological contracts are unwritten and perceptual in nature. As stated by Lussier (2019) people management difficulties occur when the expectations set within the psychological contract are not met. Furthermore, when an individual enters the organisation the reality of the environment may come as a shock if the actual experiences contrast their expectations; this challenges individual's expectations and any perceived obligations (Tomprou & Nikolaou, 2011). Soares and Mosquera (2019) indicate that increased work engagement is associated with positive outcomes for individuals and organisations. Soares and Mosquera (2019) indicate that studies have neglected the influence of the types of psychological contracts upon employee engagement outcomes. Rousseau (2001) argued that a major element of the psychological contract is the common understanding between the parties and reciprocal obligations. The employment relationship is built from the exchange of promises commencing with recruitment and selection and then through the various stages of the employment lifecycle. During recruitment and selection, in particular, the information shared by the recruiter with the interviewee sets expectations for the new work environment. The employee's understanding of these obligations following the recruitment and selection process are then linked to career motivations and intention to stay (Rousseau, 1990). The research by Ruokolainen et al. (2018) suggests that "both contracting parties should be aware of the obligations (i.e. content of PC) that they assign to each other and they should balance these obligations as well as they can" (p. 2846).

EXPLORING THE LINKS BETWEEN EMPLOYEE ENGAGEMENT AND THE PSYCHOLOGICAL CONTRACT

According to Bal, De Cooman, and Mol (2013) little research attention has been given to the links between employee engagement and psychological conditions. Sound recruitment and selection and orientation practices are linked to the psychological contract in terms of the promises made and kept. Communication is seen as fundamental in shaping the psychological contract throughout the employment cycle commencing with the recruitment stage in the formation of a positive psychological contract. Importantly, clear communication provides authenticity to the promises made as "unheard promises are the equivalent of unmade promises" (Schwartz, Spires, & Young, 2019, p. 549).

Bringing employee engagement and psychological contracts together provides a more holistic view of the employee experience and suggests themes and opportunities for research into and improvement in human resource management practices. A conceptual framework for research into the two concepts is presented in Figure 1.

Insert Figure 1 about here

This paper reports on a study exploring the elements listed in Figure 1 in a specific organisational setting. The research aimed to explore the link between employee engagement and the psychological contract and sets out the research findings in terms of the psychological contract, the organisational experience and the outcomes of employee engagement. The interviews also established a different recruitment and selection experience for leaders versus non-leaders; prior to commencing and upon commencement with the organisation. The research suggests that an employees' relationship with their immediate supervisor has a significant influence on employees, a supporting and trusting relationship rather than a controlling relationship enables employees to fully participate and contribute as they have a sense of safety in their work setting. Importantly, leaders can play a significant role in the

psychological conditions which influence employee attitudes and performance (Erkutlu & Chafra, 2013; Philipp & Lopez, 2013). Furthermore, the research by Frazier and Tupper (2018) demonstrates that supervisors play an important role in motivating employees and promoting psychological well-being which contributes to improved performance.

RESEARCH METHODOLOGY

The organisation was selected as they expressed an interest in participating, access to a pool of participants that had commenced with the organisation within a two year time-frame which aligned to the research approach of Rousseau (1990). The organisation was selected as it has a stable workforce experiencing low levels of turnover for several years. The participants had all been employed by the organisation for less than two years and as such were able to reflect on their recruitment and selection experience. Semi-structured interviews were conducted as part of a larger study that combined an on-line survey and interviews with employees of a regional government entity. Twenty two employees expressed an interest in being involved in one-on-one semi-structured interviews and nineteen interviews were conducted in July and August 2014. The interviews generally took 45 minutes to complete in a conversational style interview. The information obtained during the discussions was brought together for each of the questions and subjected to thematic coding to distinguish and define key themes (Guest, MacQueen, & Namey, 2012). The study found that the main positive influencing factors associated with promises and expectations were work-life balance, support, challenging work, development opportunities and job related information. Whereas, unmet expectations were associated with autonomy and freedom to act.

INTERVIEW STRUCTURE

Of the nineteen participants, five participants held leadership roles (managers/ supervisors/coordinators); the other participants were from a range of roles across the organisation. The semi-structured interview technique enabled the freedom to alter the timing and pace of the questions and enabled immediate follow-up with open ended questions to probe for further detail on an area of interest to the research being undertaken (Qu & Dumay, 2011). The questions discussed

encompassed the elements listed in Figure 1. Four broad themes were discussed with the participants. First, the psychological contract (expectations and obligations) to understand intention to stay; their motivation to apply for a position with the organisation; understand any promises and expectations set out in their employment contract or discussions held; their recruitment experience and whether any obligations were discussed. Second, to understand their antecedents of employee engagement in terms of the support provided by their supervisor and the organisation. Third, job versus organisational engagement. Finally, reflecting on the outcomes of engagement to understand the participant's intention to quit and their organisational commitment.

RESEARCH RESULTS AND DISCUSSION

The results and discussion are set out in the three main research themes of the Psychological Contract (promises and expectations); Organisational Experience (Antecedents and Elements); and Employee Engagement (Outcomes) as described in Figure 1.

Psychological Contract (promises and expectations)

A summary of the key findings in relation to the psychological contract and potential HR solutions are summarised in Table 1.

Insert Table 1 about here

Table 1 highlights that work-life balance, the provision of support and challenging work are important elements of the psychological contract in terms of promises and expectations. Prospective employees are also seeking to understand development and salary progression opportunities. From a human resource management (HR) perspective there is a requirement to develop policies and guidelines that are communicated to prospective employees. HR has a role in the development and delivery of sound job analysis and design methodology and recruitment and selection practices, which includes training interviewers, well developed interview questions and the provision of a realistic job preview.

Colarelli (1984) discussed the importance of realistic job previews as a key principle in the recruitment and selection process. He states that new employees may perceive a breach when their own performance is lower than the organisation's expectations, the orientation into the organisation is limited and access to members of the organisation pre-entry was limited. This is extenuated when they have had a previous negative experience or if they had various alternate employment options available to them when accepting the role with the organisation. Improved pre-entry communication is a key component to bridging this gap. The provision of a realistic job preview is critical for effective recruitment practices. (Liu, Keeling, & Papamichail, 2018). Effective communication during the recruitment process enables expectations to be closer to the organisational reality.

Organisational Experience - Antecedents and Elements

The interviews in this exploratory study focused on two antecedents of employee engagement: perceived organisation and supervisor support. The consequences or outcomes of employee engagement in this study focused on the elements of organisational commitment and intention to quit. Organisational support theory "proposes that employees form a generalized perception concerning the extent to which the organization values their contributions and cares about their well-being" (Kurtessis et al., 2017, p. 1854). Participants indicated that their supervisors were seen as caring more than the organisation because of the daily direct interaction with their supervisor.

In relation to job engagement for non-leaders the work contributors to levels of job engagement included assisting the community by providing advice and assistance and flexibility in working hours. For leaders their job engagement was influenced by: facilitating better ideas from the team; continuously improving processes and assisting people to achieve work outputs. Participants that were less engaged reported that they were looking for more challenging work and more empowerment in their position. In terms of HR solutions job analysis and design are the tools to develop well-rounded positions.

Hackman and Oldham (1980), provide a model to depict the three psychological states that affect internal work motivation in a complete job characteristics model. The Hackman and Oldham model includes core job characteristics, critical psychological states and outcomes. Job characteristics include skill variety, task identity, task significance, autonomy and feedback from the job to address job

enrichment. Critical psychological states include meaningfulness of the work, levels of responsibility for work outcomes and knowledge of the work outcomes. The outcomes include work motivation, job satisfaction and work effectiveness.

Organisational engagement

Upon review of the discussion, three groups of participants were identified. First, there were participants that were very connected to the organisation and they engaged in activities such as volunteering for events outside of working hours. Second, there were participants that were more connected to their specific Section/Division. For the participants that were connected to their Section/Division there was an association with getting involved in social events for the Section/Division. Third, a few participants were neutral or did not actively get involved in things, reporting issues such as: misalignment with values; having a fixed term contract; and not wanting to work any additional hours.

From an HR perspective the provision of information relating to the organisational values and the expected hours to meet role expectations are important in terms of the recruitment and selection and orientation practices. Employees also respond positively when goals are set and feedback is provided, engaged employees are satisfied and committed which can result in higher levels of performance (Lee Whittington & Galpin, 2010). The effective management of performance is also linked to improved employee engagement (Smith & Bititci, 2017). The consequences of engagement include job satisfaction and commitment to organisational goals, these consequences are influenced by personal values and the leadership espoused values and the associated behaviours (Rice, Fieger, Rice, Martin, & Knox, 2017).

Employee Engagement - Outcomes

Organisational Commitment

Organisational Commitment relates to the individual's attachment to the organisation (Saks, 2006). According to Rhoades and Eisenberger (2002) "employees who are emotionally committed to the organization show heightened performance, reduced absenteeism, and a lessened likelihood of quitting their job" (p. 698). Organisational commitment is the "degree to which an employee identifies with a

particular organisation and its goals, and wishes to maintain membership in the organisation" (Robbins et al., 2017, p.59).

Overall, participants indicated that they were proud to tell others that they worked for the organisation. Those that were proud to say they work for the organisation, had a sense of belonging and some of the reasons offered for this sense of belonging included: being proud to be selected through a competitive recruitment and selection process; working for an organisation with a positive reputation; and that the work/job itself was rewarding. The most common contributor to a sense of belonging was the organisation's contribution to the community. Whilst overall the organisation enjoys a positive reputation, for a few of the participants that did not like to tell others they worked for the organisation it was linked to their belief there were negative public perceptions of the organisation externally.

Most participants in non-leadership roles stated that they were very committed to fulfill any commitments to the organisation, with interviewees stating that working with the organisation was a good employment opportunity, that there was challenging work and they were eager to perform to the best of their ability. For some participants the increased flexibility in working hours was considered a trade-off for a significant reduction in earnings. Factors that would make the participants more committed included: more recognition of the skills and abilities the participants bring to the organisation; less focus on meetings, and more of an action orientation; some interviewees were concerned that the political nature of the organisation presents barriers to achieving outcomes. Participants in leadership roles were generally motivated and committed. Suggestions to increase their levels of motivation included: clearly identified career paths for progression; higher financial rewards; and more opportunity to make decisions.

Intention to quit

Employees in non-leadership roles indicated that they were looking to stay with the organisation long-term based on opportunities to move throughout the organisation and opportunities for personal growth, career development and training. Participants in leadership roles also indicated an inclination to stay

with the organisation based on the team environment, professional expertise and working hours. Intention to quit is an important consideration give the significant costs associated with employee turnover. As well, the recruitment and selection costs, and productivity implications, Duda & Zukova (2013) indicate that there are various costs associated with employee turnover, both direct and indirect, such as the time to conduct an exit interview, the processing of the contract termination and the loss of corporate knowledge.

SUMMARY AND IMPLICATIONS

Overall, the participants were looking to stay with the organisation and there was a pattern of a value-based association with contributing to the community. Participants were mostly satisfied with what was promised and as such the psychological conditions have been upheld which was reflected in fairly high levels of engagement. For leader's job engagement was premised on facilitating better ideas, improving processes and achieving outputs, whereas for non-leaders, job engagement was demonstrated by working additional hours as required, supporting, coaching and mentoring others. Participants with unmet expectations or perceived psychological contract breaches for leaders related to an expectation of greater developmental opportunities and for non-leaders and to a lesser degree leaders being provided with more information about the job itself to more fully understand the complexity and demands of their role prior to commencement. Establishing further understanding of the relationship between employee engagement and the psychological contract can assist human resource practitioners to influence positive engagement outcomes that are linked to business results.

CONCLUSION

This exploratory research has described employee engagement and the psychological contract. The uniqueness of this study stems from bringing together two research themes and drawing on the research methodologies of Saks and Rousseau. From this exploratory research the outcomes of employee engagement are organisational commitment and reduced intention to quit. Importantly, lower turnover

within organisations results in lower costs associated with recruitment and selection and the training of new employees. There are two primary limitations of this research, firstly, the research was conducted in one organisation and all participants indicated they enjoyed working for the organisation and generally enjoyed their job.

IMPLICATIONS FOR HUMAN RESOURCE MANAGEMENT

This research provides greater insight into the relationship between employee engagement and the psychological contract. The two concepts provide a broader understanding of the motivators to apply to work for an organisation that can contribute to the development of an employee value proposition which can underpin successful recruitment and selection strategies and the management of an organisational profile. An employee value proposition assists with the engagement and the achievement of organisational objectives (Adams, 2015). Moreover, the employee value proposition sets out the ways an organisation can attract and retain talented people by defining competitive financial and non-financial factors (Bell, 2005). It is important for employers to provide a realistic job preview to assist potential employees to make informed career decisions. A realistic job preview enables an improved match between the individual and their organisation (Shibly, 2019). Further studies of these constructs will provide a better understanding of the drivers of employee engagement, which is linked to organisational performance which is of interest to human resource practitioners.

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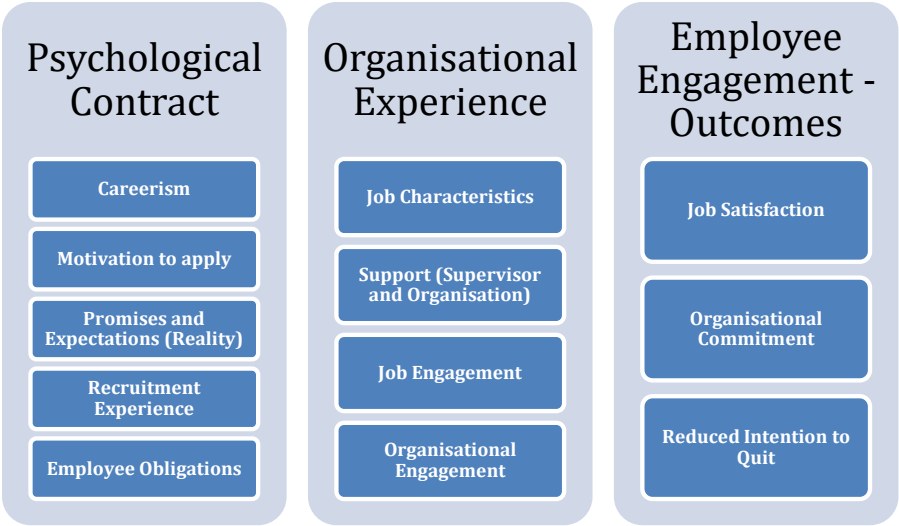

Figure 1. Employment Engagement and the relationship with the Psychological Contract (Descriptive Framework).

Table 1: Summary of Psychological Contract key findings.

Positive Influencing Factors	**Reality (Potential Breach/Unmet Expectations)**	**HR Solutions (maintain or improve HR practices)**
Promises and Expectations		
Work-life balance		Work-life balance practices and guidelines
Support Manager/Supervisor		Pre and post commencement dialogue
Challenging work	Autonomy Freedom to Act	Job Analysis and Design
Development opportunities		Development opportunities outlined
Job related Information		Provision of realistic job previews
Recruitment Experience		
Work-life balance	Actual availability of flexibility in practice	Flexibility of working hours articulated

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Challenging work		Job Analysis and Design
Salary expectations	Salary aligned to experience	Clear articulation of salary range and progression
	Interview Questions	Interview questions clearly aligned to role expectations

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Political corruption, political culture and a national integrity ecosystem

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Abstract: This paper discusses elements of political culture and proposes a national integrity ecosystem to understand political corruption in Australia. This paper also examines three cases that have raised questions over the integrity of the political process and disbursement of public funds: The Great Barrier Reef Foundation, the Paladin Contracts, and Watergate. This paper critically examines the issues these three cases have raised and how political corruption is reflected in lobbying, donations and the revolving door. The paper discusses how the issues raised are reflected in the proposed representation of Australia's integrity ecosystem.

Keywords: Political corruption, GBRF, Paladin, Manus, Watergate

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INTRODUCTION

In the lead up to the 2019 Australian Federal Election, a national integrity commission (NIC) was proposed by the country's two major political parties to address issues of corruption and misconduct on the Federal level. In the wake of the Liberal-National Government victory, at the time of writing, the national integrity commission is yet to be established. This paper discusses political corruption in Australia as a terrain that requires more sunlight as it is intricately linked with pre-existing political culture. Through a review and discussion of three case studies, this paper discusses elements of political corruption that will influence the functions of a national integrity ecosystem.

POLITICAL CORRUPTION AND POLITICAL CULTURE

Corruption is the misuse of public position for private gain. Integrity is the appropriate use of public power for public ends. The latter sets the standard and associated process while the former is a deviation from that standard and practice. Systemic political corruption arises from an ethically degraded political culture (Rogow & Laswell 1970) with little integrity. In contemporary western democracies the present values and beliefs underlying the neo-liberal market driven agenda of the 1980s have been exposed as problematic with its ensuing inequality and collapse of political trust (Dine 2017; Allan 2014). Culture is given expression through, and interacts with, political institutions; changes in both are required to secure political integrity and a sustainable democracy. National culture reflects the intangible constituents that manifest themselves in the country's institutions. Hofstede's (1984) four dimensions of national culture find expression to varying degrees at an institutional level and within organizations. Strong individualistic countries such as Australia emphasize the responsibility of the individual in their performance of duties as opposed to collectivist culture countries whereby organizations emphasize the responsibility of group membership and group decision-making (1984: 171). Even countries that value conflict avoidance and social harmony (dela Rama 2011) can manifest a destructive culture if senior leaders engage or are perceived to engage in

corrupt behaviour, leading to dysfunction. Conversely, if senior leaders emphasize transparent, accountable and trustworthy actions – walking the talk so to speak - then the acceptable scope for bribery and other malfeasance is narrowed (Lee 2000: 647-648).

This paper argues that understanding political corruption and addressing it effectively- to ensure political integrity - must be done within the broad framework of a complex socio-economic system. In this conceptual paper, we propose the following research question:

What constitutes a national integrity ecosystem (NIE)?

To answer this, we look at three case studies that highlight the deficits in political integrity in the country.

A CLIMATE OF DISTRUST

Thieves of private property pass their lives in chains; thieves of public property in riches and luxury.

–Cato the Elder

There are many causes and factors underlying the current climate of public cynicism and distrust of politicians and of political institutions. Prominent among these are the perceptions of cosy relationships between business and government, and the distorting influence on public policy of corporations and their money, as well as of the rich individuals who own them. Three cases in 2018-2019 exemplify this public distrust due to opaque decision-making, the increased politicisation of the public service and unaccountable and conflicted disbursement of taxpayer funding: the Great Barrier Reef Foundation, the Paladin contracts and Watergate.

Great Barrier Reef Foundation

In August 2018, the then Prime Minister of Australia, Malcolm Turnbull, granted a small privately-funded foundation called the Great Barrier Reef Foundation (GBRF), $444M in government funding. This generosity caught the GBRF's managing director by "absolute surprise." (Yaxley 2018) Within the community, this funding was greeted with dismay and shock as the lack of tender process over this grant bypassed existing government bodies and the competitive research grant process raising issues of opacity and duplication (Hannam 2018, Neilson 2019). As scrutineer of last resort, the Australian National Audit Office (ANAO) was asked to review the process. The audit noted, "Opportunities to introduce some competition into the grant giving process were not explored and reasons for not employing a competitive, merit-based selection process to identify the partner were not documented."(ANAO 2019). The GBRF's board members are linked to some of Australia's highest carbon-emitting companies.[1]

The Paladin Contracts

In February 2019, it was revealed that a company called the Paladin Group had received a series of contracts worth more than $420M from the Department of Home Affairs (Beech 2019). These contracts were for the security services Paladin provided to oversee Australia's asylum seekers housed in quasi-concentration camp conditions on the island of Manus in Papua New Guinea (PNG). The catalyst for public scrutiny was the revelation that the headquarters of Paladin was registered to a small beach shack in South Australia's Kangaroo Island. The contracts were awarded in a limited tender process and the company was given a start-up fund of $10M. Questions were raised over the amount of money involved with a Manus refugee stating, "With $1M you could run Manus." (Knaus

[1] https://www.barrierreef.org/the-foundation/our-governance

and Davidson 2019) A board member of Paladin, Ian Stewart, is noted to have "strong values…a proven track record of ethical and respectful engagement with stakeholders [.]"[2]

The PNG government have sought "more local involvement" in the contracts but the Minister of Home Affairs, Peter Dutton, has indicated his continued confidence in Paladin and at the time of writing, Paladin's contracts of the Manus camps will be extended (Grigg and Murray 2019). As pointed out by Walton (2017), Australia's post-colonialist mentality over PNG has been detrimental to the governance of the country's democratic institutions.

Watergate

Unlike America's Watergate scandal, which centred on President Nixon and the eponymous hotel, Australia's Watergate is more literal though as complicated as the former. Watergate was the moniker termed for the scandal that engulfed the Energy Minister, Angus Taylor, in April 2019. It was revealed that Eastern Australia Irrigation, a company founded by Taylor, was in receipt of $80M of taxpayer funds to purchase its water rights (West 2019). The company is also based in the Cayman Islands, a well-known tax haven. It has also been revealed that Taylor, his extended family members and associates have directly benefited from over $93M of Federal and State grants.[3]

Australia's Watergate exemplifies the debacle of the country's attempt to manage the world's driest continent's most important resource, the Murray-Darling River basin. The attempts to manage this basin have been stymied by regulatory capture from large irrigators (Wentworth Group of Concerned Scientists 2017), and water management and decision-making is vulnerable to lobbying by powerful

[2] https://paladingroup.net/board-of-directors/
[3] https://twitter.com/MsVeruca/status/1141972135335747584

commercial and politically connected interests (Lindsay 2017). The National Water Initiative of 2004[4]is on the verge of collapse. Some $13 billion was committed by government, $8 billion of which has been spent to restore the health of the river, but not unfortunately well spent. Some $4 billion went to government buybacks of irrigators' water at great expense to the public and in the absence of a competitive market to set water prices. The system has effectively been rorted by a few, typically large, vested interests, with too little support to regional economic and community restructuring and development. Watergate is an example of this – it exposed the Commonwealth payment of non-existing water rights owned by a Cayman Island company associated with a Minister of the Crown (Slattery 2019).

Watergate has raised the issues of conflicts of interest of self-interest, ministerial integrity and transparency of public funds. Similar to the previous two cases, the existing process in the disbursement of taxpayer funds have been found wanting, especially when they involve the country's political leaders.

PUBLIC CONCERNS

The three cases above exemplify the major public concerns about perceived insider deals between politicians and well-connected businessmen in Australia. These concerns are reflected in a serious lack of trust in politicians and business across the country. This lack of trust undermines the moral authority upon which delegated, representative democracy rests. Citizens must be able to trust parliaments to take decisions on their behalf and in the 'public interest' rather than in the 'private interest'. It is notable that social media, especially through Twitter, has become an avenue for public

[4] http://www.agriculture.gov.au/water/policy/nwi

discontent to be voiced over perceived politically corrupt acts. This echoes the experience of other countries such as Indonesia (Widojoko 2017).

Australia's complacency on anti-corruption has also led to a Transparency International record low corruption perceptions index score of 13 out of 180 countries.[5]For a country that once prided itself on clean business practices, its ranking relative to its neighbour New Zealand (ranked 2nd least corrupt) demonstrates the institutional ailments that have beset the country. Correspondingly, 85% of Australians polled believes there was corruption in Federal politics (Aulby 2017).

POLITICAL DONATIONS

Reform of political donations is necessary to stem the decline in public trust. A senate inquiry into the political influence of donations demonstrated how this funding mechanism weakened, and in fact, damaged, the democratic process (Senate Select Committee 2018). Political donations generally did not support Australian democracy but rather bought policy access and influence to advance corporate profitability and shareholder returns. Political donations tend to undermine the integrity of our institutions of 'representative democracy' as they tend to bypass winning the public over by buying the vote of the lawmaker.

POLITICAL LOBBYING

Lobbying involves the risks of corruption and misconduct, particularly through conflicts of interest on the part of public officials due to their receipt of payments, including, political donations, secondary employment, and the 'revolving door' by public officials and lobbyists (Tham and Ng 2014). Unfair

[5] https://www.transparency.org/country/AUS

access and influence on 'insiders' in public policy is often obscured by secrecy, abetting the exercise of political connections and the power of lobbyists with their advantages of wealth. These practices undermine key democratic principles: the protection of the integrity of representative government through transparency in decision-making; prevention of corruption and misconduct; promoting fairness in decision –making, and; respect for the political freedom to directly lobby. Regulatory instruments are required to manage lobbying so that they form an important part of a regulatory regime aimed at ensuring integrity of government, that would include laws providing for public participation and consultation in policy making, FOI laws; administrative laws and laws directed specifically at corruption. These would then form part of a nation's ethics regime (Pope 2000) or more broadly support, as this paper suggests, a national integrity ecosystem.

THE REVOLVING DOOR

The traditional legal and criminal conceptions of corruption are premised around the taking of personal benefits in the form of gifts, payments and bribes in return for exercising public duties in the interests of the private parties making the payments and that will gain commercially from the officer's decision at the expense of the public good. The Australian aged care and financial sectors (both subject of royal commissions) are replete with examples of the revolving door between the bureaucracy, lobby groups and politicians[6] which have unduly influenced policies and symbolise the parlous regulation of these sectors that have benefited corporate interests at the expense of the community. Traditionally the exercise of these forms of influence is immediate and direct between the parties, the handing over of the 'brown envelope'. They are also regarded as breaches of codes of

[6] In aged care, the door tends to revolve between the bureaucracy through the Department of Health and industry. Examples include the former CEO of the government's Australian Aged Care Quality Agency (AACQA), Nick Ryan, who was from the aged care lobby group Leading Aged Services Australia, and is now at provider group Lutheran Services; the aged care provider Estia has Mark Brandon, formerly the CEO of the government's Aged Care Standards and Accreditation Agency (ACSAA – predecessor to AACQA above) as chief regulatory officer, while another provider Opal Aged Care, has Peter Shergold formerly from the Department of the Prime Minister and Cabinet, as Chair. Arguably the most prominent example of the revolving door in aged care is the case of former Health Minister Nicola Roxon, who was chair of provider BUPA until 2019.

conduct and standards, such as the Australian Government Statement of Ministerial Standards (2018)[7] promulgated by the Department of Prime Minister and Cabinet, although as the cases of *Paladin Contracts* and *Watergate* demonstrate, the Standards are rarely enforced, or if they are, the consequences of the breaches are too minor to be regarded seriously by those who are governed by them. Indeed, the Standards carry in themselves no legal or criminal sanctions and their administration and oversight are political and administrative rather than independent or judicial and at the time of writing, the Ministers involved in the two cases are still, in effect, in the Cabinet.

The particular complication and difficulty arising with 'revolving door' behaviour is that the conflict of interest that arises is typically displaced in time between the exercise of the influence and the payment of the benefit. The 'decision' or 'favour' done in public office is likely to be rewarded once the office holder leaves their position in the public sector and takes up lucrative employment in the private sector, typically with an organization with whom the office holder was dealing in their public office. These 'inter temporal conflicts of interest' with their associated delayed benefit are more likely to escape legal restrictions and scrutiny. The perpetrator is no longer bound by codes of conduct and it is too hard to prove a criminal act. Receiving direct 'quid pro quo' payment upfront while in office and then conferring political favour can be more readily associated for purposes of prosecution, than an 'ex post' benefit, particularly if it is conferred some years later following retirement from public office in the form of a lucrative appointment in the private sector. The conflict of interest only becomes apparent after they leave office.

[7] https://www.pmc.gov.au/resource-centre/government/statement-ministerial-standards

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A NATIONAL INTEGRITY ECOSYSTEM

To frame the issues we have raised, our conceptual framework: the 'National Integrity Ecosystem' (NIE) is presented in the chart below. This ecosystem has four principal and interacting components: national integrity; national corruption; political culture, and, institutions. They interact within a broad sphere of values and beliefs, domestic and international. Together they constitute a complex and adaptive ecosystem that bears on the level of political trust essential to the functioning of a democratic society.

[Insert Chart 1 here]

The main stakeholders in a NIE are the politicians and the community. In representative democracies, the politicians are elected by the community and thereby represent the power vested in the people and delegated to the politicians. These stakeholders interface and interact through the political system of a country where national culture, trust and values are reflected or become embedded in the country's institutions.

Domestic and international events are part of, and have an influence on, the integrity ecosystem whether through formal or informal channels. Formal channels may include institutions, international forums and agreements; while informal channels may be through elite/oligarchical networks in business and politics or civil society activism and social media, for example as represented by broad developments such as globalisation, neo-liberalism and more recently, populism.

This framework suggests that any individual initiative on integrity and corruption, unless it is understood and developed as a component of a much larger ecosystem is likely to be ineffective; each component interacts with the others, often in unforeseen and unpredictable ways. At the heart of the integrity ecosystem is the process of 'politics'. Its role is to mediate democratically (in the public

good) between political institutions/community (right circle) and political culture/politicians (left circle) so as to maintain a sustainable balance between community values and trust (small eggs) in politicians. This broad setting includes (in the big, enclosing egg shape) a wide range of international and domestic drivers and trends shaping the system. The problem of corruption is linked to the notion of integrity (Sampford 2016). In a democracy it is for the community to set the expected standards of integrity against which corruption can be determined. In a representative democracy, the community devolves its standard setting to its parliamentary representatives on the assumption that they will act in the public interest. The exercise of democratic politics is a contest over 'who gets what and when'. The moral and ethical problem of corruption arises when the political process among politicians and governments expressed in legislation becomes perverted by undue private influence of vested interests over public policy-making and decision-making. Chart 2 below places all of these issues in an Australian NIE:

[Insert Chart 2 here]

While the detail in this chart can be rather complex, the ecosystem – by its nature – is complex, malleable and changeable. The processes that can lead to Australian political corruption are political donations, lobbying and revolving door. These processes existed in the three case studies mentioned in this paper. The notion of the 'public good' is the ideal outcome, balanced but shaped by the forces of institutions, culture, trust and values. Broader, often internationally originating drivers such as globalisation, tax avoidance, privatisation, neo-liberalism and increasing corporatisation have been perceived as resulting greater inequality in the country.

The private sector has an instrumental role to play in a country that prides itself to be liberally democratic. It is in the best interests of the sector that businesses support the public institutions that balance their needs with that of the community. Where corrupt players participate in a sector, the private sector participants that do not engage in an opaque environment are unfairly penalised. A

strong private sector benefits from an even playing field, with government institutions acting and exercising their roles of impartial referees. Where these same institutions are captured by vested interests, then the sector and by default, the community loses. Public institutions are the fine line that represent functional societies from dysfunctional ones.

The proposed framework in this paper provides the field where institutions and corruption interplays. They can be adapted to any country in the region and knowing how the cultural variables are embedded within society and where they are in the integrity-corruption spectrum allows us a profound understanding of how institutions operate in corrupt environments (dela Rama and Lester 2019). Accountability is the demonstration of good governance in practice. Both concepts are concerned with the uses and abuses of power. Lord Acton's dictum holds that 'all power corrupts and absolute power corrupts absolutely'. The democratic challenge is to manage the inevitable risks of the abuse of power from the necessary to the contingent. The power held by the corruptor is as relevant as that held by those corrupted; management needs to be applied to both.

CONCLUSION

This paper argues that the conception of a 'national integrity ecosystem' requires understanding of how the individual elements within this system dynamically and constantly interact with each other. Through a review of three case studies, the proposed framework shows the tensions amongst some political elites whose active engagement in short-term rent-seeking have undermined our existing democratic institutions, against the wishes for open, accountable integrity from the community. This is the test that, at the time of writing, confronts the institutional quandary of establishing a federal anti-corruption institution in Australia. To be effective, any proposed Federal ICAC will need to confront these and they must in turn be tackled more effectively with individual laws and regulations. Further research may also show how adaptable this framework over time. The framework is but a start

in defining the boundaries of the field of corrupt practices on an institutional level and it is hoped that this paper may foster discussion on Australian values that underpin such activities.

Stream Number 12: Public Sector Management and Not-for-Profit

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CHART 1

Chart 1: National Integrity Ecosystem

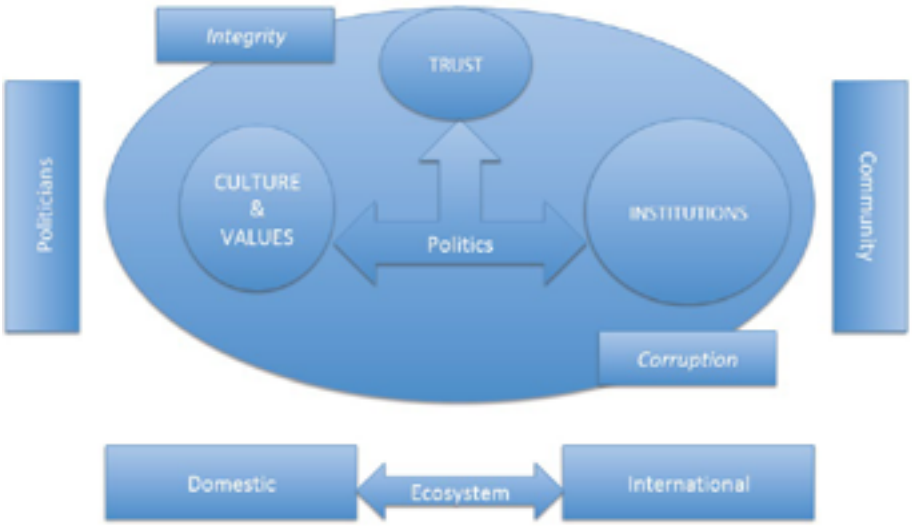

CHART 2

Chart 2: The Australian National Integrity Ecosystem

Stream1:Wicked Solutions to Wicked Problems
Interactive Session

Do we have wicked problems and solutions in strategic decision making?: A review of literature

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ABSTRACT
In today's complex world, most businesses and companies experience different confusing strategy issues. Most of these problems are not just persistent or severe but are labelled as "wicked" in some areas of practice such as urban planners. In this context, the term 'wicked problems' refers to those issues which companies and businesses cannot resolve definitively. This paper proposes that applying wicked solutions to wicked problems might be an effective strategy that requires an appropriate decision-making approach by senior leaders of business organisations. It also provides ways of measuring outcomes of some strategic decisions. The paper will use the existing body of knowledge and different conceptual models to investigate the research idea empirically in a sample of senior leaders and CEOs.

Keywords: Wicked problems, wicked solutions, mixed method, Strategic decision-making, strategies, conceptual models.

INTRODUCTION

In today's business world, wicked problems mainly revolve around scenarios associated with issues or challenges involving several stakeholders who have conflicting priorities, those which people cannot evaluate if a specific remedy can work, and has roots that are tangled. Wicked problems can also be those issues that have never been faced before or those that change when different efforts are put in place to address them. The need for firms to grow or develop faster is also considered as a wicked issue. Some of the traditional linear processes associated with solving different problems that companies and organisations face including identifying the problem, choosing a specific strategy, studying all available options, and gathering data often fail to work with most wicked problems. Managers and senior leaders play an import role in decision-making (Marchisotti, Domingos, & Almeida, 2018, p. 3). Making decisions is one of the most critical roles in companies (Negulescu & Doval, 2014, p. 859). Firms require strong corporate identities since they serve as rudders, which help them to navigate or reconsider different choices (Buil, Catalán, & Martínez, 2016 p. 4). Firms should come up with different wicked solutions that will help in successfully coping with some of the wicked strategy issues. Based on the different characteristics of wicked problems, not all issues that are hard-to-solve are considered to be wicked. Wicked problems are those issues that have several interdependent factors which make them hard or seem impossible to resolve. An excellent example of a wicked problem is the issue of global climate change. Having the right strategy is vital for most companies and organisations since most problems and challenges that they face emanate from not having the appropriate strategy or strategic decision-making process by senior leaders. Senior leaders who incorporate the right strategy help their firms to actualise and rationalise change and come up with the most effective solutions to different issues. Given this background, the objective of this paper is to explore the relevance of strategic decisions, abstract thinking and metacognitive ability, and measurement of the strategic decision to wicked problems.

METHODOLOGY

Since this is a conceptual paper, a review of literature, focusing more on strategic management issues is presented. Conceptual arguments were developed using various academic articles published mainly in the fields of management, economics, psychology, and social and behavioural sciences. Also, textbooks and reports were used to supplement these journal articles. Some of the general theories used in the argument include those that revolve strategic management, psychology, general management, and ethics. These theories are fundamental in this argument because they create a foundation based on previous research findings.

THE RELEVANCE OF STRATEGIC DECISIONS

Since identifying the options that are appropriate and those that are not is difficult for most senior leaders. They should stop examining them and instead go ahead to experiment them. The heads of the firm should consider the different methods and principles they can use to manage different scenarios (Aven, 2016, p. 1). The leaders of the firms should make progress through experimentation and muddling through (Schraeder, Self, Jordan, & Portis, 2014, p. 51). Identifying moves and envisioning some of the future possible outcomes from the implementation of different strategies can help in uncovering various promising remedies (Khan & Khalique, 2014, p. 54). A strategic decision is essential when providing solutions to different problems because it is associated with the environment that firms use to operate their resources. For this reason, senior leaders should be able to adapt different strategic decisions to solve various problems encountered within the business environment.

Strategic Decisions

Strategic decisions involve procedures that lead to the creation of values to gain competitive advantage and establishing appropriate missions, objectives, and goals for organisations. Determining or deciding on the particular action plan that a firm may use to reach come up with a strategic decision, may involve the alteration of its strategies concerning various observed outcomes (Belia & Koustelios, 2014 p. 452). The implementation of strategic decision-making helps to transform organisations and companies into

large industries or groups (Papulova & Gazova, 2016, p. 573). Strategic decision-making processes utilise metrics which provide realistic pictures of the associated firms which in the end creates the appropriate motivation associated with the development or effectiveness of strategic decisions (Bryson, Edwards, & Van Slyke, 2018, p. 330). In most cases, processes associated with strategic decision making are carried out in few steps, and the preferred strategies should be robust to allow the firm to perform different activities differently when compared to its competitors or rivals more competently (Punt & Anderson, 2015, p. 502). Having the right steps and timing is essential for senior leaders when engaging in strategic decision-making processes.

Strategic decisions mostly revolve around resource allocation (Maritan & Lee, 2017, p. 2412). If a firm's resources are limited, strategic decisions would be irrelevant (Babafemi, 2015, p. 44). Financial resources, performance, and goals tend to play critical roles when it comes to making strategic decisions, more so, when the process is at the implementation stage (Van der Hoek, Groeneveld, & Kuipers, 2018, p. 475). It is crucial to evaluate abstract thinking when it comes to strategic decision-making. Abstract thinking is the capability of thinking about principles, objects, and physically absent ideas. Failures or flaws realised in strategic decision making may end up affecting a firm's economic decisions and the process associated with corporate strategic decisions (Marzuki, 2015, p. 21). Failures can influence the success of different firms (Amankwah-Amoah, Boso, & Antwi-Agyei, 2018, p. 648). By observing how other firms are executing strategic decisions, a firm can quickly come up with successful outcomes by retaining relevant information which it can replicate later it a similar problem emerges.

Some leaders have the capability of making different strategic decisions easily and quickly, and sometimes, when they have limited information (Ejimabo, 2015, p. 2). The senior leaders should be the agents of change (Azad et al., 2017, p. 1). When businesses are taking calculated risks, they must set thresholds to qualify their different decisions (Zinn, 2019, p. 3). When firms are faced with wicked issues, they should mitigate them through design by using empathy, rapid prototyping, and abductive reasoning (Peters, 2017, p. 386). Most strategic leadership and management styles are associated with strategic decision making that might result in lucrative or profitable consequences. Wicked problems have many different causes and have no correct answers (Crowley & Head, 2017, p. 540). These problems can, however, be tamed by the right approaches which will make them easily manageable. Most leaders tend to have different ideas associated with their chosen industries and can also prove to be professionals in it. To solve some of these problems, some senior leaders seek outside assistance when it comes to different strategic decision-making processes (Wellstead, Evans, & Sapeha, 2018, p. 1183). Most of these mentors can turn out to be relevant sources of advice. It is therefore important for senior leaders to be knowledgeable of the firms' current affairs so that they can provide strategic decisions.

The Role of Abstract Thinking and Reasoning in Strategic Decision

Metacognitive ability is a central component associated with leader developmental readiness, and it works through control and monitoring (Najmaei & Sadeghinejad, 2016, p. 61). Leader development readiness in this context refers to the motivation and ability of senior leaders to make meaning of, and attend to relevant new leadership skills, knowledge, attributes, and abilities into knowledge structures (Black, Soto & Spurlin, 2016, p. 86). A leader's metacognitive ability is referred to as his or her capacity to participate or engage in the second order thinking process (Black, Soto & Spurlin, 2016, p. 86). The capacity of knowing what people know helps to accelerate leader development by allowing them to be aware of their cognitive weaknesses and strengths, the ability to adapt and monitor their learning, and understanding (Black, Soto & Spurlin, 2016, p. 86). Abstract thinking and reasoning play essential roles when it comes to strategic decisions. Abstract thinking is the capability of thinking about principles, objects, and physically absent ideas (Markovits, Thompson & Brisson, 2015, p. 683). Abstract reasoning, on the other hand, is the ability to examine information, detect relationships and patterns, and solve different problems that are on an intangible and complex level (Markovits, Thompson &

Brisson, 2015, p. 683). People who possess these different abilities can help to explain and provide an understanding of different strategic decision-making processes.

As managers and senior leaders climb up the corporate ladder, the complexity, and degree of decision-making responsibility increases. Hence, the intellectual and cognitive demands associated with the decision-makers naturally alter or change their characters. Abstract thinking and reasoning capacities rewarded and learned at early stages of people's managerial careers can be ill-adapted to the distinct requirements or demands of future-oriented and strategic decisions (Thompson & Johnson, 2014, p. 216). Abstract thinking and reasoning are essential in strategic decisions because they help senior leaders to frame the problem space, assess or evaluate different requirements, and commit to meaningful choices which galvanise them to action. When managing wicked problems, senior leaders' metacognitive abilities allow them to regulate and understand their thought processes since they contribute to problem-solving (Black, Soto & Spurlin, 2016, p. 86). When leaders use their metacognitive abilities, they will be able to come up with effective ways of mitigating wicked solutions since they are associated with creative decision making, problem-solving, leadership performance, and critical thinking. Abstract thinking and reasoning, and metacognitive abilities help leaders of different firms to gains advantages that lead to less maladaptive processing and greater self-insight, which can help to accelerate developmental readiness.

GAP ANALYSIS IN THE LITERATURE

Wicked Problems and their Resistance to Resolution

According to Thollander, Palm, & Hedbrant (2019), the term 'wicked problems refer to those issues that have resistance to resolution since they are incomplete, need changing requirements, or are contradictory (Thollander, Palm, & Hedbrant, 2019, p. 1569). The authors argue that wicked problems serve as critical models associated with the understanding of different challenges that affect or relate to society including climate change mitigation (Thollander, Palm, & Hedbrant, 2019, p. 1569). They focus on analysing how the concept of wicked problems contributes to an improved understanding of energy efficiency. Waddock, Meszoely, Waddell, & Dentoni (2015) argue that the idea of efficacious organisational changes should be reexamined to include the need for simultaneous and significant change to achieve greater social justice and sustainability (Waddock et al., 2015, p. 994). Alegre, Berbegal-Mirabent, Guerrero, & Mas-Machuca (2018) argue that typical problems that have defined statements also have predefined solution sets (Alegre et al., 2018, p. 457). The senior leaders should be ready to manage their workforce effectively (Shaban, 2016, p. 77). Agility and flexibility have become important in management theory, more so, in the complexity theory. Although wicked problems are resistant to resolution, senior leaders should come up with strategic decisions that can help to manage them.

Scope of Wicked Problems

Head & Alford (2015) argue that most wicked problems require social processes which continuously engage senior leaders and stakeholders who explore and reevaluate the definition of the problem, issues related to the description, and reconsider their different assumptions (Head & Alford, 2015, p. 713). Wentzel (2016) argues that most wicked problems cannot be measured and it is hard to claim their success because in most cases they result in other issues and cannot be defined or articulated (Wentzel, 2016, p. 120). Head & Alford (2015) argue that that wicked problems emanate from other issues and are invented by humans (Head & Alford, 2015, p. 712). In most cases, wicked problems do not have practical characteristics. Even though wicked problems do not have practical characteristics, the senior leaders of different firms should be able to identify and manage them.

STRATEGIC DECISION FACTORS

The different characteristics associated with wicked problems necessitate the use of different approaches for the taming of such issues. The different procedures that lead to the creation of values, missions, objectives, and goals for organisations in strategic decisions and how executives require more

than the ability to prevent common biases such as selection and confirmation biases are what bring about the differences when evaluating the relationship between normal and strategic decisions (Belia & Koustelios, 2014 p. 452). Wicked problems are issues that are difficult to resolve because they lack linearity that is present in the change from the definition of the problem to the solution (Yawson, 2015, p. 74). When addressing wicked problems, it is crucial to consider some of the strategic decision factors. Senior leaders and CEOs top management team can employ different prescriptive and descriptive elucidations of a variety of principles and strategies to manage the wicked characteristics of problems (Pretorius, 2016, p. 81). It is challenging to find different solutions that will help to solve a wicked problem, but senior leaders and CEOs top management teams can learn to manage them. The most straightforward techniques are often the best. According to Esty and Bell (2018, p. 80), businesses can manage issues associated with climate change by addressing their greenhouse gas emissions, which in this context is a straightforward technique. It is important to note that some of the strategic decision factors that should be considered when managing a wicked problem revolve around the characteristics of the issue.

Some of the things that should be considered in this context include, whether the problem has a definitive formulation or not, if it can be easily measured, if its solution is clear, if there is a guide that can be used to tackle it, if it has an explanation, or how unique it is (Lavery, 2018, p. 163). All these factors greatly determine the strategic decision that can be used to eliminate the wicked problem. It is also possible to eliminate problems in organisations since the different solutions associated with wicked problems may only be bad or good, false or not true, approaches used to manage wicked problems must be docile ways that help to manage the situation instead of solving them (Danken, Dribbisch, & Lange, 2016, p. 20). People who are in charge of solving wicked problems have to make up different things as they continue to manage them because they do not have practical characteristics.

When coming up with strategic decisions to solve wicked problems, senior leaders and CEOs top management teams should always know that there exist several explanations that depend on their different perspectives (Kerns, 2016, p. 62). Wicked problems emanate from other issues and are invented by humans. The various interventions that are used to provide solutions to wicked problems and help to change the issue's design space to reduce the probability of trial and error effectively. The people who are in charge of addressing wicked problems should make sure that they take full responsibility for their actions. This also happens in pure science in particular. For example, for a simple issue such as cold, different doctors of the same qualifications and experience provides different prescriptions. In most cases, no one evaluates the long-term impact of these medicines on individual patients. Similarly, nobody can identify 100% relevant causes of the problems in social science such as management. If somebody uses the term practice, it means many things, not just one solution; nobody can talk about best until they see all the possible consequences and implications in the long. Therefore, what is happening in nature and practices in people behaviour is to go for an acceptable or feasible solution rather than thinking about imaginary best.

Managing Strategy's Wickedness

The senior leaders are responsible for setting and implementing the strategic direction of a firm to ensure its long-term performance in different environments (Judge & Talaulicar, 2017, p. 52). Wickedness in this context refers to the quality of a problem being morally wrong or evil. Companies can cope with the strategy's wickedness by using different social-planning processes (Shu-Hsiang, Jaitip, & Ana, 2015, p. 3708). The senior leaders, CEOs and top management teams should organize different sessions that they can discuss some of the ways that they can identify the various aspects associated with wicked problems, share their perspectives, develop future scenarios, and organizing design charrettes that help to gain and develop acceptance for some of the probable strategies (Lopez-Fresno & Savolainen, 2014, p. 137). Social-planning helps to foster a shared understanding of the issue at hand and joint obligation to conceivable ways that can help to resolve wicked problems (Huber, 2017, p. 5). The leaders might fail to agree on the nature of the problem but should be in a position to understand each other (Heemskerk, Heemskerk, & Wats, 2017, p. 234). By getting different opinions, leaders can develop

various novel perspectives and become innovative (Distanont & Khongmalai, 2018, p. 1). The downward behaviour of senior leaders has an impact on the firm's commitment (PM Chong, 2014., p. 55). Tactic commitment and knowledge often assist senior leaders and CEOs, top management teams, to develop various innovative strategies. There is no rule or mechanism in any country to take responsibility for the outcomes of the decisions made by social planning processors in organisations. That is why some CEO's salary is 700% more than the average salary of an employee. Therefore, different countries should establish different rules or mechanisms to take responsibility for the outcomes of decisions in organisations.

The process associated with documenting the ideas, assumptions, and concerns of the senior leaders may appear trivial but is very important (Bagire, Byarugaba, & Kyogabiirwe, 2015, p. 963). This process assists enterprises to understand the hidden assumptions of senior leaders while gauging whether their actions are effective. An excellent idea, cannot be found in practice because documentation about real issues, and thus real causes themselves are avoided as much as possible in systematic, formal and civilised societies, by they need to investigated and somebody has to take the responsibility. Therefore, the practice has been, give senior managers a call, and it does not matter how severe the problem is. Different planning processes act as vehicles that help in the process of communication with associated employees between and at all levels of business units (Islami, Mulolli, & Mustafa, 2018, p. 94). Senior leaders should value documentation processes since they can help in generating new ideas.

Firms or organisations can deal with different wicked problems by defining their corporate identities (Michaels & Grüning, 2018, p. 2). The senior leaders and the CEOs top management teams can experiment with various strategies as they remain faithful to the firm's or the organisation's sense of purpose. The mission statements of the firms should be upheld because they act as the strategies' foundations. The identity of the firm can serve as a criterion that can be used in evaluating its decisions since it is a statement with a strategic intent (Mathias & Williams, 2017, p. 894). The strategy used in this context depends on the characteristics associated with the wicked problem. It is important for firms to define their corporate identities when they are managing wicked problems because it provides them with a sense of purpose.

MEASURING THE STRATEGIC DECISION

The measurement of the value of strategic decisions requires the combination of different traditional valuation methods with others which include the real options and future scenarios for the project to be carried out (Khaw et al., 2019, p. 2). Measuring the strategic decision used to manage different wicked problems involves techniques which help to reinforce the critical relationship that exists between economic value creation and decision making. To create value, firms, and firms should understand the different economic advantages that exist while making and implementing decisions which make sure that uses a specific level of profitability which surpasses the costs associated with the used resources. The leaders should create value for the firm and the shareholders (Costin, 2017, p. 170). This strategy can underscore the connection that exists between economic value creation and strategy, but it is a hard thing to measure. Firms can measure economic value creation by assessing product differentiation or vertical integration strategies. Firms can measure product differentiation strategies by positioning the item against those of their competitors based on excellence and timely delivery in manufacturing. For vertical integration strategies, firms or researchers can either utilise ratios including the value added over the firm's sales or assessing its percentage of total products. It is important for senior leaders to pay attention to the requirements of the firm when selecting a suitable approach for measuring strategic decisions.

Senior leaders and CEOs top management teams can derive the economic value from discounted cash flows, although it has different limitations. Financial reporting is, therefore, an essential element in this context (Widarti & Pramajaya, 2018, p. 46). This process is referred to as operational flexibility, and it may involve a high value (Silva & Ferreira, 2017, p. 13). The senior leaders and CEOs top management can incorporate the value associated with operational flexibility by discounting the estimated cash flows

based on probabilities, which the scenario will materialise (Copiello, 2016, p. 196). Operational flexibility can be incorporated through the development of different dynamic budgeting systems, promotion of corporate systems, and reviewing decision strategies regularly. Managers can measure their value by combining mix and volume flexibility while deriving the lowest and highest limits. The indicators of this measurement are a firm's associated costs and operative data, including firm's workforce, creditors, direct competitors, information on customers, and suppliers. The traditional discounted cash flows can become dynamic because they factor in some of the probabilities related to the occurring scenarios (Adamczyk & Zbroszczyk, 2017, p. 7). The strategy used should be analysed and the possible scenario associated with the development of the firm classified as either optimistic, normal, or pessimistic. The different strategies will generate some economic value but will have different probabilities. The strategy used should be analysed by the management or researchers and the possible scenario associated with the development of the firm classified as either optimistic, normal, or pessimistic. Data on traditional discounted cash flows can be available for researchers and investors. A firm's website can be used to obtain data on discounted cash flows. Investors or firms may be contacted to help in calculating discounted cash flows. It is crucial to come up with a weighted economic value that will be used as a reference point (Sabol & Sverer, 2017, p. 22). In most firms, weighted economic value is calculated by chief accountants, chief financial officers, head bookkeeper, and comptrollers. The senior leaders can analyse or assess the value creation related to the cash flows and the different actions which are taken depending on the predicted events. The leaders analyse value creation in this context by calculating the present value of every cash flow and adding them all up. Some leaders are reluctant to share such information with outsiders, while others do not mind. Discounted cash-flows and budgeting in strategy implementation can be used to assess the realisation of different firms' visions in the future. It is also possible for a firm to assess or evaluate the impact of its competitors' reactions and actions on its cash flows. It is important for senior leaders to factor in any considerations when measuring strategic decisions.

The quality of the different strategies can be measured using different methods. For the value of a strategic decision of qualitative analysis, the Lickert-Type scale can be used via surveys whereas, for quantitative analysis, one can examine some particular type of return on investment depending on the units used (Joshi, Kale, Chandel & Pal, 2015, p. 396). Another alternative that can be used to measure strategic decisions for qualitative analysis could be surveying the opinions associated with stakeholders on different parameters including acceptability by different stakeholders, the associated qualitative benefits, ease of implementation, sustainability, and change in the dissatisfaction and satisfaction levels of stakeholders. For quantitative analysis, the value of the strategic decision can be measured using different factors, including the cost of implementation and tangible benefits such as income growth, market share, and revenue growth. When assessing the quality of different strategies, it is essential to derive a relative weight for each factor.

CONCLUSION

In conclusion, having the appropriate, feasible, an acceptable strategy is essential for firms and organisations because most problems and challenges that they face originate from not having the appropriate strategies and strategic decision making by senior leaders and CEOs top management teams. Strategic decisions help firms to be proactive, increase operational efficiency, define their direction, and make them more durable. Based on the different characteristics of wicked problems, not all problems or issues that are hard-to-solve are considered to be wicked. Although this research paper

provides relevant information on how strategic decisions help to manage wicked problems, it fails to explore the mitigation of such issues in the different sectors of the economy, including the healthcare setting. Some problems have indeterminate scales and scopes, such as inequality. Wicked problems are difficult to fix, but senior leaders and CEOs top management teams can play an important role in mitigating the different negative consequences that result from such issues. The mitigation process is not a quick, solitary, and easy exercise. Designing and strategic decision-making for impact involve maintaining the course through rigorous and systematic iteration. Senior leaders require perseverance and interdisciplinary collaboration when they are managing wicked problems.

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Stream 3: Gender, Diversity and Indigeneity
Refereed Delivered Session

How Does Inclusive Leadership Matter in High Performance Teams? Insights from Australia's Healthcare Industry

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ABSTRACT: *The health care sector plays a pivotal role in the world economy and teams that perform various tasks are the backbone of this sector. In culturally diverse countries like Australia, diversity of such teams is an important player in their performance. In this study we delve into the performance of these teams from the perspective of inclusive leadership. We explore how a leader's inclusiveness matters in the performance of teams. Data from leaders in Australia's health care sector reveal noteworthy insights into the dynamics of team performance and open new avenues for future research and policymaking.*

Keywords: Team Performance, Health Care, Inclusivity, Inclusive Leadership

Stream 3: Gender, Diversity and Indigeneity
Refereed Delivered Session

INTRODUCTION

"Freedom is indivisible; the chains on anyone of my people were the chains on all of them, the chains on all my people were the chains on me."

Nelson Mandela

A specified reduction of patients on waiting lists, the rising number of satisfied outgoing patients, a higher percentage of completed projects in a given periods and many more similar examples demonstrate how critical performance of competing teams is in our daily lives. Not every team is, however, equal in its capacity to meet performance goals. Research on team performance shows that some teams are more successful and competitive than others (Rego et al., 2017; Schippers, 2013; Tsai et al., 2016; van der Hoek, Groeneveld, & Kuipers, 2018). Such teams known as high performance teams have fascinated scholars and continue to inspire numerous studies (Beech & Crane, 1999; Castka, Bamber, Sharp, & Belohoubek, 2001; Dutra, Prikladnicki, & Franca, 2015; Kets de Vries, 2005; Losada, 1999). Despite this wealth of knowledge, conditions, mechanisms and leadership styles that cultivate high performance in teams remain an open area for exploration and examination. More specifically, the influential factors contributing to the success of high-performance teams remain to be conclusively determined (Preece & Hunter-Jones, 2018). In this study we aim to shed new light on this topic from the perspective of a team leader's approach to making use of diversity in the team. As reflected in the opening quote of this section, anecdotes tell us that inclusiveness enable leaders to achieve great things. In fact, leader inclusiveness briefly defined as an ability of a leader to involve, inspire, motivate and encourage everyone regardless of its individual differences in achievement of common goals (Javed et al. 2018; Najmaei, 2018) seems to be a much-talked-but-less-understood topic (Najmaei 2018; Najmaei & Sadeghinejad 2019) - specifically in the context of high performance teams. According to Castka et al. (2001), the knowledge, skills, experience, and perspectives of a wide range of people must be integrated in order for a team to succeed. High performance teams outperform ordinary teams because they can better unleash potential of their members toward their stakeholders shared purpose (Castka et al. 2001). Since leadership is an integral factor in team performance(Goodwin, Blacksmith, & Coats, 2018) there is theoretical ground to argue that high

performance teams benefit more from an inclusive approach to leadership than other teams, in fact, as pointed out by Sugiyama et al. (2016), trends in the extant literature suggest that more relational approaches are necessary for leadership that can harness the benefits of the diverse and globalized workforces of today and the future. Given that teams are the nucleus around which our organizations work (Katzenbach & Smith, 2015), we seek to answer the fundamental question of how inclusive leadership matters in creating high performance teams. In order to address this exploratory question, we designed a qualitative inductive research and collected data about different aspects of inclusivity from six executives who lead high performance teams in the Australian healthcare sector.

The remaining parts of this manuscript elaborate this research and is structured as follows. The next section reviews background literature on high performance teams and inclusive leadership. The third section elaborates the research design, data collection and analysis. In the final section we present research findings and discuss implications of our research and its limitations as well as some suggestions to further our research.

BACKGROUND LITERATURE

In this section we review research on high performance teams and inclusive leadership and present our arguments in the form of stylized facts. Stylized facts are empirical regularities in search of theoretical, causal explanations (Hirschman, 2016). Stylized facts are both positive claims (about what is in the world) and normative claims (about what merits scholarly attention). Much of canonical social science research can be usefully characterized as the production or contestation of stylized facts (Hirschman, 2016).

High Performance Teams

High performance means different things to different people. Kirby (2005) argues that developing a theory for high performance is “so daunting that it might seem a fool's errand to attempt. In fact, no one did for the first thousand or so years of business history.” (P.30). Similarly, according to Zoogah (2018) the literature is inconsistent on high performance in organizations partly because it is studied by diverse scholars in different disciplines such as sociology and economics. Some have studied high-performance work systems (e.g. Messersmith, Patel, Pankaj & Lepak, 2011; Varma, Beatty, Schneier

& Ulrich, 1999), some have delved into high-performance work practices (e.g. Chang, Oh & Messersmith, 2013; Sikora, Ferris & Van Iddekinge, 2015), whereas others have focused on high-performance organizations (Coulson-Thomas, 2012; De Waal & Van der Heijden, 2015). This paper focuses, however, on a less studied topic: high performance teams (Castka, Bamber, Sharp & Belohoubek, 2001; Losada, 1999). Warwick (2016) points out that high performance teams are critically important for all organizations because mediocre teams can achieve only 63% of their strategic objectives (Mankins & Steele, 2005) but high-performance teams can outperform this manifold (Paul, Bamel & Stokes, 2018). Although performance of teams has been studied for decades (Beckhard, 1969; Conger & Kanungo, 1988; Kanter, 1979). The research interest in high performance teams has only recently taken off (Cauwelier, 2019; Paul, Bamel & Stokes, 2018). The main reason is that high performance teams are extremely rare and can be challenging for a leader to manage (Castka, Bamber, Sharp, & Belohoubek, 2001; McCann & Margerison, 1989). There are various explanations about what constitute high performance teams. Katzenbach and Douglas (1993) assert that the essence of a team is common commitment. Without it groups perform as individuals and with it they become a powerful unit of collective performance. They further add that high performance or highly successful teams develop strong commitment to a common approach to work together to achieve their common purpose. In addition to a stronger commitment to a common purpose, Kets de Vries (1999) highlights mutual trust and respect as core ingredients of high performance teams. He adds that members of high performance teams avoid disruptive behaviour, such as side conversations or inside jokes, as much as possible because they are aware of the need for full effective collaboration. Kets de Vries (2005) extends his earlier studies on high performance teams by considering talent and human capital as what differentiates mediocre from high performing organizations. According to Kets de Vries (2005) members of high performing teams share common goals and values; respect (and build on) each other's differences; and learn to use the complementarities in their leadership styles to create an effective role constellation. Therefore, high performance teams exceed all reasonable expectations and produce extraordinary results. They are formed by groups who rely on each other, base their actions on a common vision, develop their activities through open communication, and have shared leadership, build confidence, enabling innovation from individual differences. (Dutra et

al., 2015). All in all, although different scholars characterize high performance teams differently, there is a consensus that high performance teams are built on the foundation of diversity in skills, talents and abilities and a commitment to make diversity work. In this study we enrich this line of reasoning by introducing inclusiveness as a concept that captures the essence of high performance. Inclusiveness is how diversity in talent and human capital can be capitalized on to make a team a high performing one. High performance teams "comprise of individuals with unique skills and talents; who appreciate the richness of diversity within the team to co-operate, consult and coordinate tasks effectively and efficiently." (Qureshi & Dhaliwal 2016, p.10). Taken together, we present the following stylized fact:

> *Stylized fact one: members of high performance teams have diverse skills, talents and human capital, they show strong commitment to a common goal and collaborate closely toward the goal based on the foundation of trust, respect and acceptance.*

Inclusive Leadership

According to Day and Antonakis (2012), leadership is an influencing process and its resultant outcomes mainly in terms of goal achievement that occur between a leader and its followers and how this process is explained by the leader's dispositional characteristics, behaviors, and followers' perceptions and attributions of the leader and the context in which the influencing process takes place. Recent advances in leadership suggest that this influencing process needs to be inclusive (Najmaei, 2018; Najmaei & Sadeghinejad, 2019). It should be less leader-centric and more follower-oriented and include all followers regardless of their gender, ethnicity and other peripheral attributes. Inclusive leadership (IL) emerged from this view. In general terms, inclusiveness refers to something that "covers or includes everything" (Wuffli, 2016). According to Wuffli (2016), the inclusiveness concept expresses "the need to proactively ensure the participation of poor, underprivileged people in development processes" (2016, p. 2). In the context of workplace, Shore et al. (2011) define inclusion as the degree to which an employee perceives that he or she is an esteemed member of the work group through experiencing treatment that satisfies his or her needs for belongingness and uniqueness. Inclusion fosters belonging and connection. Inclusion and belonging are critically sought-after

workplace attributes that are often not achieved due to leaders who inhibit inclusion through their actions. (Coleman III, 2017). Similarly, Carmeli, Roni, and Ziv (2010) define inclusive leaders as leaders who exhibit openness, accessibility and availability in their interactions with followers. Put together, inclusive leadership is a leadership style that promotes and capitalizes on the power of diversity (Coleman III, 2017; Wuffli, 2016). Inclusive leaders maximize gains from diversity by fostering inclusion (Hollander, 2012). The essence of inclusion is fundamentally important in the leadership process because "people want to feel included, heard and valued, and they will go above and beyond if the essential need of belonging is met" (Coleman III, 2017). Therefore, inclusive leadership is about fostering relationships, relationships that accomplish things for mutual benefits of the leader and his/her followers. All in all, we present the following stylized fact:

> *Stylized fact two: inclusive leaders focus on followers, remove hierarchies and make themselves available and accessible to everyone to promote inclusion and ensure that followers' needs for uniqueness and belongingness are satisfied.*

Inclusion in High Performance Teams

There is no explicit research on the role or importance of inclusion in high performance teams. Let alone on the way how an inclusive leadership style matters in developing high performance teams. This paucity, as noted before, is the key motivation for this paper. Implicitly, few studies have pointed to the benefits of an inclusive atmosphere for high performance teamwork. Kets de Vries (1999) asserts that leaders of high performance teams:

> *"encourage dialogue and interaction among the participants (i.e. reducing hierarchical barriers), balancing appropriate levels of participation to ensure that all points of view are explored (i.e. promoting inclusion, sense of uniqueness and belongingness). They capitalize on the differences among group members when those differences can further the common good of the group (i.e. promoting diversity of capital, skills, talents). They give praise and recognition for individual and group efforts, and they celebrate successes (i.e. helping followers feel belongs and unique)." (pp 74-5)*

Furthermore, Nembhard and Edmondson (2006) empirically show that leaders' inclusive behaviour is positively associated with psychological safety-belief that the team is safe for interpersonal risk taking-in the workplace. Duhigg (2016) discusses some findings of the project Aristotle at Google in which a common factor binding team members together and generating high performance was psychological safety. Based on these observations, O'Neill and Salas (2018) argue that psychological safety is a prominent teamwork variable influencing high performance teamwork.

RESEARCH DESIGN

Research Context

We studied leaders of high performing teams in the health care sector because of the rising importance of health care in Australia. Australia has a service-based economy. The service sector accounts for up to 61% of the Australian Gross Domestic Product (GDP) and employs 79.2% of the Australian workforce (Australian Government: Department of Industry, Innovation and Science, 2016). Therefore, performance of teams in the health care organizations has important ramifications for the economy of Australia and its sustainable growth.

Data and Sample

As a qualitative research, purposeful sampling was employed (Pratt, 2009). The objective of this sampling strategy is to provide access to the most clear-cut examples of the phenomenon of interest in order to permit inquiry into and understanding of the phenomenon in depth (Quinn Patton, 2002). Among various types of purposeful sampling the intensity sampling was deemed to be suitable for this research because it generates information-rich cases that manifest the phenomenon of interest intensely (Quinn Patton, 2002). Subsequently, we sought executives who lead high performing and culturally diverse teams in healthcare organizations. Data for a selection of such executives were obtained from a consultancy company based in Sydney.

Instrumentation

An interview was designed to capture how executives perceive their inclusiveness and associate it with the performance of their teams. To design the interview protocol the suggestions of Creswell (2007, p. 133) were followed. Accordingly, open-ended questions were designed by sorting questions from general to specific and ending with questions on how to learn more or seeking comments. In addition, the pruning technique proposed by Gillhan (2005, p. 29) was undertaken to create a logical

narrative order. Finally, the wording and phrasing of questions were reviewed by some experts for its linguistic and conceptual accuracy. The interview was then piloted and tested by experts before the main data collection phase.

Data Collection

The process of data collection took two weeks from early April 2019 to mid-April 2019. Interviews were conducted face-to-face. They lasted between 35 and 50 minutes and were recorded and transcribed. In total, 240 minutes of interview were converted into 41 pages of transcribed qualitative data from six leaders. Participants were representing large Australian health care firms.

Analytic Method

To analyse data, we first adopted the coding procedure of Weber known as the Weber protocol (Weber, 1990). According to this method, a coding frame is developed deductively prior to the research and completed by codes which are developed inductively during the analysis. This framework is then used for organizing, classifying, and summarizing raw data. Subsequently, to analyse the coded text, pattern matching was employed were coded data was organized first into emergent categories known as subordinate themes. Then the sub-categories are grouped into super-ordinate categories known as main themes. Main themes represent the key emergent theoretical framework of the research.

FINDINGS

Our research revealed six themes which show how inclusive leadership matters in the development and formation of high performance teams. Figure one schematically integrates these six.

Insert Figure One Here

Theme 1: Promoting Trust to Increase Collaboration and Boost Open Communication

Inclusive leaders believe that trust is key to achieve high performance. Interview one asserted that:

> *"…So creating a safe space where they have a venue to offer their opinion without feeling that it's going to be judged in any way."*

This point was further substantiated by the third interview when he pointed to the role of trust in promoting open communication in high performance team:

> *I really believe in open communication. I feel most conflicts and things like that always come down to lack of communication. If you're constantly in communication with your team, you're building trust, you're building a rapport and a relationship, and then ultimately I guess they feel more empowered and then they want to contribute and really give their best."*

Theme 2: Promoting and Taking Advantage of Diversity in Human Capital

We established that inclusive leaders promote diversity and use inclusivity to capitalize on diversity in human capital. We also learned that teams need different sources of skills, talents and capital to achieve their full potential. These points were vividly demonstrated in our findings. Interview five, discussed the importance of inclusion and diversity in successfully completing a complex project:

> *"There was no way I could actually do that by myself without technical expertise. Having a team around me that could also be responsible for those areas was critical and therefore no choice but to be inclusive really, where I didn't have the knowledge myself"*

Similarly, interview six, discussed how he is involved in a cultural awareness training to increase productivity and inclusivity of his team:

> *"We are just doing a culture awareness training on, if you come from China and when you come to a situation and the different viewpoints from the different backgrounds that you've had and how do you distinguish in the meeting where the response might be different to what you expect"*

Theme 3: Making Diversity Work by Cultivating an Inclusive Culture

Leaders of high performance teams appreciate the criticality of having a work atmosphere were everyone feels accepted and belonged because inclusion breeds safety, productivity and creativity. The second interviewee expressed this point very clearly:

"So, that may take form in not judging, making it an environment where people respect one another's opinions and don't feel stifled by certain neither procedures or maybe even some regulations around conduct to make sure people feel accepted and safe."

Interviewee six also considers inclusivity an integral part of teamwork in all projects where high performance is expected:

"So, to me my role as one who is setting the vision and the direction, but then to spend my time including staff and actually working with staff to showcase what they do to bring in their variances to what we do and to enable that inclusivity in all the different projects."

Theme 4: Leverage Diversity in Making Decisions Inclusively

High performance teams make decisions inclusivity. That is, by involving all members. This inclusivity is built on trust, open communication and commitment and helps teams members contribute more to the attainment of a common goal. As the first interviewee states:

"If you have a culturally diverse team, for example, as I would here or most companies in Australia, then you need to be aware of that and make sure those people are included when you make decisions"

Second interviewee also substantiated this point as exemplified below:

"And so an inclusive leader, the title itself I think implies that you're cognizant of what your people have to offer and you're leveraging the most out of your people, to both acknowledge and celebrate what they have when making a decision" (Interviewee two)

Theme 5: Removing Hierarchical Barriers to Boost Performance

Inclusion is based on heterarchy not hierarchy. Inclusive leaders are aware of this and removes hierarchical barriers in teams, divisions and organizations to boost productivity and performance.

So yeah, for me everyone has a role, and they're all equally important because any one of them is not played well or hampered by others in other levels could help make it all fall down." (Interviewee one)

"Well, I would hope if you were asking them that they would agree that the team functions fairly in a flat structure with a very egalitarian value to it." (Interviewee two)

Theme 6: Being available and accessible to make members feel supported

High performance is a function of trust, transparency, commitment and collaboration. Inclusive leaders support these values by being actively approachable, accessible and available to followers.

"I have an open-door policy, so anyone can come in. I think my personal style is quite friendly and happy. This enables me to build rapport, trust, respect and commitment" (Interviewee one)

"Every Wednesday morning, we have a get together around here, so all the staff come, and it started off with me saying, this what I've been doing, and the other executives saying that." (Interviewee six)

Informed by this analysis, we took a step further and quantified the number of times each interviewee contributed to each theme. This quantification allows us to better visualize how important each theme is in our model to our participants. Table one exhibits the results of this analysis.

Insert Table one Here

As Table one shows, making decisions inclusively and promoting trust followed by nurturing a culture of inclusion are the most talked about themes. A rather surprising finding is that promoting diversity is the least talked about theme. These observations have important implications for theory, practice and research.

DISCUSSION AND IMPLICATIONS

This research has important implications for theory and practice of leadership and performance management and opens new avenues for future research. The following sections briefly discuss these implications.

Theoretical Implications

High performance teams are dream teams and every leader wants to have a dream team yet high performance teamwork is difficult to achieve and most teams fail to reach their full potential and many fail dismally (O'Neill & Salas, 2018). Castka et al. (2001) highlight the misalignment between human (skills, knowledge, needs and group culture) and system (organizational context, defined focus, measurement of performance) factors in the team performance framework as the main barrier against high performance. More recently, van der Hoek et al. (2018) suggest that goal clarity, information elaboration and self-management separate ordinary from high performance teams. Our research contributes to this line of inquiry by emphasizing the importance of team leader's inclusivity. We conceptually showed and empirically demonstrated that leaders of high performance teams in the Australian healthcare sector promote inclusion and this inclusivity facilities commitment, trust, collaboration and shared leadership which in turn cultivate high performance.

Practical Implications

Knowing how to lead a high performance team is undoubtedly a top priority of any business leader. Even though, based on our findings, we advise leaders to become inclusive to boost performance of their teams, we are cognizant of the fact that being inclusive is easier said than done. Leaders face many challenges in exhibiting inclusiveness. Research shows that removing hierarchical barriers is not as easy as it seems to be because they entail cultural and structural changes for many businesses are not prepared or designed for (Wuffli, 2015). Leaders also struggle to become available and accessible due to political, structural and organizational priorities entrenched in today's business cultures (Adapa & Sheridan, 2018). Therefore, investment in high performance teams must be accompanied with inclusive leadership development programs and practicing leaders need to be aware of pedagogies and framework that facilitate inclusivity at leadership level (Read, Betancourt, & Morrison, 2016; Sugiyama, Cavanagh, van Esch, Bilimoria, & Brown, 2016).

Limitations and Directions for Future Research

Our research is limited in several ways which can serve as opportunities for expansions, refinements and extensions. Firstly, this research is done in the health care sector. Future studies can replicate our method and test our conclusions in other sectors such as hospitality, manufacturing and even public

sector. Secondly, our research is exploratory in nature and lacks generalizability (Aguinis & Solarino, 2019). Quantitative research designs can be used to test the external validity and generalizability of our findings. Furthermore, more research is needed to investigate mechanisms through which inclusiveness interacts with other leadership characteristics to improve team performance. Finally, as a qualitative exploration we did not study situational factors such as levels and types of diversity in teams in our study (Jackson, Joshi, & Erhardt, 2003). Future research can extend our findings by delving into such factors in order to enrich the body of knowledge on the micro and meso mechanisms that affect effectiveness of inclusive leaders in high performance teams.

CONCLUSION

This study is the first of its kind to explore how leadership inclusiveness matters in the performance of teams. Evidence from the Australia's health care sector shed new light on the importance of a leader's approach to inclusivity. Factors including leaders' increased approachability, accessibility and nurturing capacity in cultivating a culture that promotes team's members uniqueness and belongingness constitute inclusiveness. We found that leaders who excel at these dimensions witness a higher level of performance and a lower level of negative emotions in their teams specially in sensitive and complex contexts such as health care. These findings add to and extend the body of knowledge on inclusive leadership and team performance and have important implications for policy making, leadership development and practice.

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Figure 1: How inclusive leadership matters in high performance teams

Table 1: Contribution of each participant to each theme

Theme	Interviewees					
	1	2	3	4	5	6
Promoting Trust	23.30%	20.60%	15.00%	12.00%	13.50%	14.50%
Promoting Diversity	9.10%	10.20%	15.00%	6.80%	10.50%	18.60%
Inclusive culture	21.20%	20.40%	5.00%	15.40%	8.30%	20.40%
Inclusive decision making	27.30%	32.70%	20.00%	38.50%	42.10%	18.30%
Heterarchy	13.00%	6.10%	25.00%	15.20%	10.30%	9.90%
Availability & Accessibility	6.10%	10.00%	20.00%	12.10%	15.30%	18.30%

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Stream 7, Leadership, Governance & Strategy

Delivered Session

The Contribution of Project Managers' Soft Skills to their Project Success

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Stream 7, Leadership, Governance & Strategy

Delivered Session

The Contribution of Project Mangers' Soft Skills to their Project Success

ABSTRACT: *The purpose of this paper is to identify key soft skills required by project managers and its impact to their project success. The authors have performed a Comprehensive Literature Review (meta-framework) as an evidence to support the argument that project managers could increase the chances of projects being successful by applying their soft skills to manage project team and its performance. The findings of this review demonstrates that the identified soft skills are active listening, communication, conceptual skills, conflict management, human resource management, team management, human skills, leadership skills, motivation skills, negotiation skills, people skills , political and cultural awareness, professionalism and ethics. These skills are critical towards project success, however, it is also identified that soft skills and hard skills, both work in conjunction with each other to attain success. This review provides a significant contribution by establishing the need of developing soft skills in project managers in order to manage teams effectively and efficiently, thereby increasing their performance and the chances of project being successful.*

Keywords: soft skills, project manager, project success

INTRODUCTION

With companies and organisations becoming more project oriented, there has been ongoing discussions in the project management community to determine key elements that contribute to project success (Shenhar & Dvir, 2007; Goles, Hawk & Kaiser, 2008). Inevitably, the knowledge, skills and abilities (KSA) of a project manager become an important factor which contributes to a project's success. Project Management Institute (PMI) studies recently applied the Project Manager Competency Development Framework (PMCD) to the skills required by a project manager through use of the PMI Talent Triangle. This talent triangle focuses on three key skills sets namely, technical project management (hard skill), leadership (soft skill) and strategic and business management (hard skill) (PMBOK® Guide, 2017). However, soft skills such as negotiation, motivation, stakeholder

engagement, communication, empathy and influence which are considered essential for project managers by other authors are not included in PMI Talent Triangle (Nikitina & Furuoka 2012; Grugulis & Vincent 2009; Weber et al. 2009; Pant & Baroudi 2008). However, they have rather been mentioned as behaviours required by a leader in PMBOK® GUIDE (2017).

Soft skills are known as people skills and are an individual's personal attributes that assist them to be efficient and effective in performing different tasks (Bancino & Zevalkink 2007). The necessity of soft skills in project managers thus becomes important to manage people (team, sponsors, stakeholders etc.) who are key denominators in all projects. It is the team (group of people) managed by a project manager which performs the processes in order to initiate, plan, execute, monitor , control and close a project. But there is limited information pertaining to the type of soft skills that are required by a project manager to manage the project team i.e. people. Furthermore, and how this set of key soft skills impacts project manager's project success (Weber et al. 2009). Therefore, the objective of this research is to first identify the key soft skills required for project managers and second to evaluate the impact and potential contribution of project manager's soft skills in project success.

WHY SOFT SKILLS?

Studies conducted by Hartman & Ashrafi (2002) identified factors that contribute towards a project's success, however, none of these studies mentioned the role a *project manager* towards project success. Project managers make an attempt to accomplish a desired task by managing 'through a large and diverse set of people despite having little direct control over most of them' (El-Sabaa 2001, p. 1). They take responsibility of the project as whole, from building the project team (where applicable) to leading the team to achieve the specific project objective. But, there are underlying issues faced by a team which could pose potential problems such as lack of trust, lack of

communication, low morale, unable to seek consensus, lack of appreciation etc. According to Stevenson & Starkweather (2010), an effective project manager possess skills such as leadership, team building, motivation, communication, influencing, decision making, political and cultural awareness, negotiation, trust building, conflict management and coaching. These skills equip project managers to address the above mentioned underlying issues and keeping the team members motivated and satisfied which could be reflected in their performance eventually. Project manager should be able to build trust and layers of loyalty within the project team. It is critical that a project manager *should be* capable of forming the right team to deliver the project effectively and in an efficient manner (Anantatmula, 2010; Cowie 2003).

The project success criterion is continuously developing with the developments in project management discipline. These developments are also evident from the changes incorporated in PMBOK® Guide (2017) which states that a project manager should also manage the business and strategic component of projects whereas earlier it was limited to completion or closure of the project. With these developments the need for soft skills in project managers has become even more important but it has not been stated as an explicit factor contributing to project success even though various authors have found it to be true. According to Pinto and Prescott (1988), the critical success factors that contribute towards a project's success include project mission, management support, project plan, client consultation, personnel, technical tasks, client acceptance, monitoring & feedback, communication, troubleshooting, conflict resolution, characteristics of project manager and project leader, environmental factors and organisational environment. However, Cserhati and Szabo (2014) found meeting project performance objectives, project specific objectives and stakeholder's satisfaction as the three main success criterion for a project to be successful, where project management processes, project resources, project team, organisational culture,

communication and co-operation as the main criterion that affect project success. The base line for project success according to PMI remains scope, time and cost (unless if otherwise is stated in project charter).

It is worth noting that the lack of experience in dealing with particular project problems or risks in project managers also leads to project failures. Livesey (2016) argues that for a project to continue towards achieving its overall objective, any conflicts that arise due to any foreseen or unforeseen circumstances need to be resolved in a timely manner to ensure that the project is on the desired track of achieving its goal. He also identified limited time duration for building team, developing rapport with stakeholders, obtaining organisational support, building a working control system to manage changes, different professional and social backgrounds of the team members, ambiguity towards clear goals and objectives, change in stakeholders and team structure, and conflicts resulting in communication problems, scope and personnel changes as factors that affect a project's progress as a whole. These identified factors clearly indicate the need of soft skills in project managers to manage the "people" aspect of projects.

SOFT SKILLS IN PRACTICE

Project management could be seen as social conduct and interaction between people to accomplish an objective. Contextually, where hard skills bring in efficiency and effectiveness in managing a project with the use of tools & techniques, soft skills contribute to project management as whole (Weber et al. 2009). However, due to limitations in gauging impact of project manager's soft skills on projects success, such requirement goes under noticed (Mayo 2013). Manazar et al (2005) indicated that project managers' hard skills contribute towards only 15% of their project's

success, while soft skills contribute towards 85% of it. Even then, soft skills do not receive required focus and emphasis at the time of analysing the causes of project failure (Fisher 2011). Having said that personal attributes, attitudes to work, and individual qualities are extremely difficult to evaluate which adds to the complexity of measuring soft skills. There is limited information available on different methods that may be used to measure the impact soft skills has on project manager's project success (Langer, Slaughter & Mukhopadhyay 2008). There are physiological tests that are available to identify whether an individual possess soft skills, however, there is a lack of evidence for measuring its impact on project's success (Heckman & Kautz 2012). The need for selecting a suitable project manager is widely discussed, but, equal attention needs to be given to their soft skills as well. Weber et al. (2009, p. 354) argued that recruiters consider, job applicant's hard skills, i.e. 'technical aspect of performing a job' as the main criterion to recruit for the role of a project manager whereas project management is seen as a social conduct and interaction occurring between people working together to accomplish an objective (Cicmil & Marshall, 2005). Over time the approaches to project success have changed from defining success to more strategic and holistic view. But, it is still somewhat debateable that achieving success in projects is solely based on successful frameworks alone.

CONCEPTUAL FRAMEWORK OF THIS RESEARCH

A project is run, managed, controlled and closed by a project manager and their team. Hence, there are *people* involved in every stage, process, decision and task of the project. This particular element of a project indicate that project management is as much about people management as it is about project management in itself. People are key resources in any project i.e. stakeholders, suppliers, clients, project team etc (PMBOK ® Guide, 2017). Thus, a project manager needs to exercise their soft skills while dealing with people i.e. project team. In this context, the authors have reviewed literature to explore if soft skills have a moderating effect on team

management and performance eventually contributing to project success. The conceptual framework is presented below:

Insert Figure 1 about here

The framework illustrates that a project manager uses technical project management, business & strategic management and leadership to lead project team which eventually contributes to project success. The above mentioned three skills in PMI talent triangle have been identified as key contributors in project success. In this paper, authors would then explore the effect which soft skills may have on project success and project team management.

METHODOLOGY

The authors have conducted an in-depth review using a Meta framework of Comprehensive Literature Review (CLR) technique. CLR has three phases namely exploration, interpretation and communication. The first phase focuses purely on investigation, second phase focuses on interpretation of information extracted in first phase and last phase focusses on dissemination of findings to appropriate audience (Onwuegbuzie & Frels, 2016). The three phases combined follow a seven step model to review literature. It comprises of exploring the beliefs and topics, initiating the research, storing and organising information, selecting/deselecting information, expanding the research, analysing information and presenting the report. The diagram below illustrates the synopsis of the review conducted by authors:

Insert Figure 2 about here

SYNTHESIS & DISCUSSION

Soft skills assist in managing team members and stakeholders in an effective and efficient manner (Scott-young and Samson, 2008). A study conducted by Stevenson and Starkweather (2010)

identified most important skills required by a project manager that are needed to successfully deliver projects. Their study showed that out of six core skills identified four were soft skills. In addition, Fisher (2011) argue that behaviour underpinning competencies are becoming increasingly important in project management as behaviours do drive outcomes of a project. Thus, the specific behaviours pertaining to each skill needs to be applied by a project manager in order to achieve a desired result. Soft skills would help a project manager to further improve their work attitude and cater to the element of flexibility that is involved with individual team member giving rise to an overall productive environment. The authors have thus identified 13 soft skills which are necessary for a project manager. The table below summarises these skills:

Insert Table 1 about here

Soft skills assist in managing team members and stakeholders in an effective and efficient manner (Scott-young and Samson, 2008). From the review of the literature, the researcher found that one of the dominant reasons for a project failure is a lack of soft skills in a project manager. A study conducted by Stevenson and Starkweather (2010) identified most important skills required by a project manager that are needed to successfully deliver projects. Their study showed that out of six core skills identified four were soft skills. In addition, Fisher (2011) argue that behaviour underpinning competencies are becoming increasingly important in project management as a whole. However, behaviours do not drive outcomes of a project. Thus, the specific behaviours pertaining to each skill needs to be applied by a project manager in order to achieve a desired result. Soft skills would help a project manager to further improve his/her work attitude and cater to the element of flexibility that is involved with individual team member giving rise to an overall productive environment

The findings of this research reinforce importance of soft skills in a project manager and its contribution to his/her project's success. However, Gurugulis and Vincent (2009), argue that

increasing emphasis on soft skills create problems as personal attributes are extremely challenging to evaluate. They also argue that prevailing stereotypes within an industry pertaining to genders, behaviours and productivity further add into an existing complexity. On one hand, where Gurugulis and Vincent (2009) arguments shed some light on the importance of soft skills in managing a project, there are a number of other authors (Grugulis & Vincent 2009) who criticise the over importance that is given to soft skills in the reviewed literature. The authors found that it is quite evident from the reviewed literature that hard skills are an integral part of a project management (Webner et al. 2009). Traditionally, project managers are recruited based on technical skills as a sole criteria, however, the researcher found that a project, in general fail in the absence of either skill set (soft and hard skills) in a project manager.

In general, a project manager has a comfort level pertaining to both, soft skills or hard skills. As a result, it becomes imperative for a project manager to receive training to develop the other competencies required by a project manager to increase his/her overall productivity. The high failure rate of projects gives rise to the need of necessary actions to be taken to bring in improvement to the overall quality of a project increasing the success ratio as a whole. In this context, it then becomes imperative to integrate soft skills along with hard skills in the project management methodologies to further improve the discipline itself. Soft skills are heavily used across various stages of the project. For example, communication skills is used across all project management phases and thus, play a crucial role in executing, controlling and closing phases of a project. Similarly, team management skills is exercised by a project manager during the planning and execution phase along with motivation skills that assist in developing a stronger bond with team members and communicating goals, roles and responsibilities in a coherent manner, whin in-turn results in team members successfully performing throughout the remaining phases of a project.

Traditionally, project managers are primarily recruited based on technical skills criteria, however, the authors suggest that projects, in general fail in the absence of either skill set (soft and hard skills) in a project manager. In general, a project manager has a comfort level pertaining to both, soft skills or hard skills. From a project manager's perspective, their behaviour towards work, team members and the organisation as a whole would form the basis of their decision making towards the project team and how individual and group tasks are carried out. It is evident that a project manager's soft skills play a crucial and decisive role that provide encouragement to a team member to adopt a positive behaviour that eventually result in a team member making a positive contribution in successful completion of a project. While soft skills are found to be a contributing factor leading to a project's success, these soft skills on their own would not suffice for a project to be successful in delivery. Soft skills needs to work 'hand in hand' with hard skills in order to increase the chances of project success.

CONCLUSION

The high failure rate of projects gives rise to the need of necessary actions to be taken in order to improve the chances of a project being successful. Contextually, it then becomes important to integrate soft skills along with hard skills in the project management methodologies to further improve the discipline itself as, soft skills are heavily used across various stages of the project. Pertaining to the findings of CLR review, there is evidence that soft skills of the project manager have an impact on team management, team's performance and project success. The authors found communication skills, team management skills, negotiation skills, human skills, human resource management, professionalism and ethics, political and cultural awareness, conceptual skills, leadership skills, active listening skills, motivational skills, conflict management and people skills are the key soft skills required by a project manager to manage its team and lead them towards project success. These skills aid in managing the most important resource of the project i.e. project team

(people). By applying these skills a project manager would be able to identify strengths and weaknesses of team members, their attitude, gain feedback, increase their ability to coordinate tasks better, establish a notion of harmony, exercise leadership skills, motivate project team, conduct ethical practices and keep the team energised to achieve goals & objectives of the project. This paper contributes significantly to project management domain by establishing the need of soft skills in project managers, identifying a set of key soft skills and their contribution to project success. Future research could be conducted to identify a revised competency framework for project managers which includes soft skills. The scope of this paper is limited to review of literature however, further data collection through interviews, surveys, focus group discussion etc. is recommended.

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Figure 1: Conceptual Framework

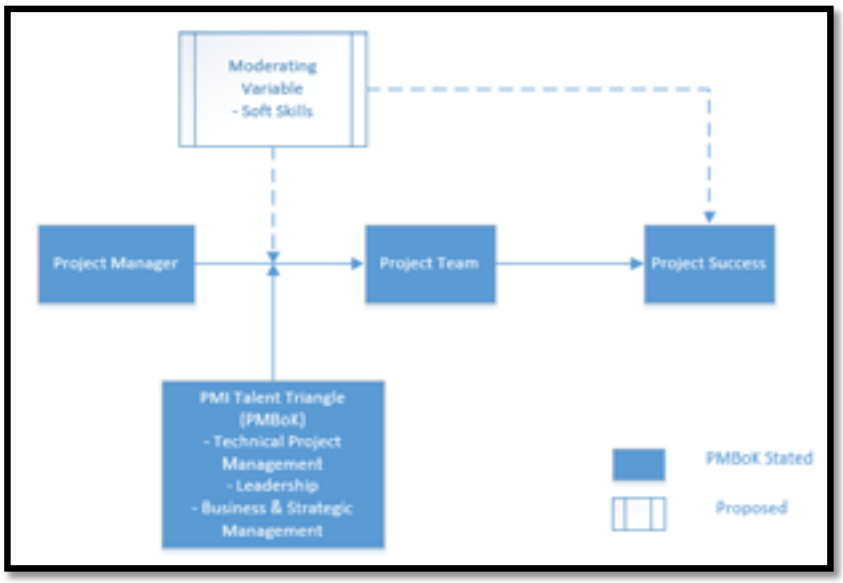

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Figure 2: CLR Synopsis

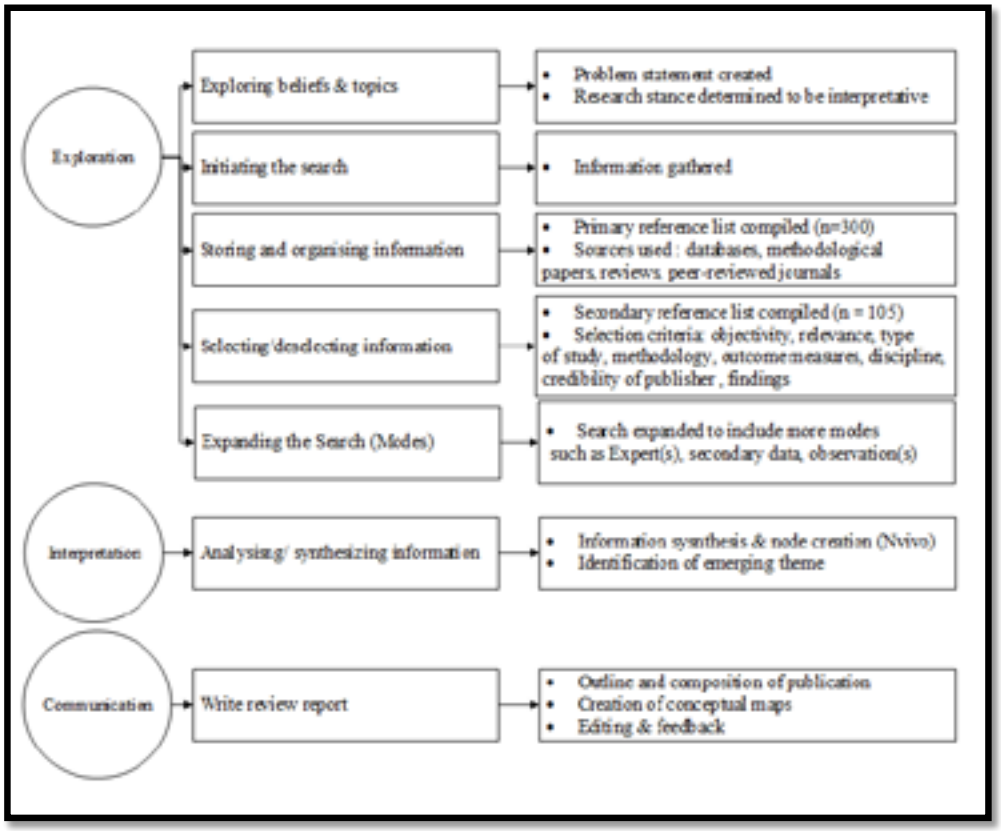

Table 1: Identified Key Soft Skills of a Project Manager

Soft Skills	Description/definition	Authors
Active listening	Listener fully concentrates, understands, responds and remembers the conversation	Rogers & Farson 1979; Fisher 2011; Henderson 2004; Bubshait & Farooq 1999; Kerzner & Kerzner 2017; Schwalbe 2015; Slevin & Pinto 1987; Heldman 2018; Dohe & Pike 2018; Shivakumar 2018; PMBOK ® Guide 2017
Communication	Ability to convey ideas and feelings effectively	Belzer 2001 ; PMI 2004; Muller & Turner 2010; Ahmed, Kayis & Amornsawadwatana 2007; El-Sabaa 2001; Crawford 2004; Tonchia 2018;Lauren & Sachreiber 2018; Briere et.al. 2015; Chaghooshi 2016, PMBOK ® Guide 2017
Conceptual Skills	Ability to think creatively and understand complicated or abstract ideas	El-Sabaa 2001; Sunindijo 2015; Kay & Russette 2000; Tidd, Bessant & Pavitt 1997; Divleli & Ergun 2015; Vargo & Clavier 2015
Conflict Management	Ability to deal with conflict in a rational, balanced and effective manner	Mills, Robey & Smith 1985; Butler 1973; Gobeli, Kooenig & Bechinger 1998; Kerzner & Kezner 2017; Martinsuo & Hoverfalt 2018; PMBOK ® Guide 2017;

		Chen et. al. 2016
Human Resource Management	Hiring and maintaining workforce	PMBOK ® Guide 2017;Huemann, Keegan & Turner 2007; Meyer & Xin 2018;McCaffery 2018
Human Skills	Ability to build relationship with others	Müller & Turner 2010; Trivellas & Drimoussis 2013; Alam et al. 2010
Leadership Skills	Ability to position executives to take thoughtful decisions in line with organisations goals and empower them to achieve thoose objectives	Brill, Bishop & Walker 2006; PMBOK ® Guide 2017; Huang et.al, 2006; Koo & Park,2018
Motivation Skills	Ability to exibit actions or startegies to get desired behaviour from stakeholders or team members	Shane, Locke & Collins 2003; Eccles, Wigfield & Schiefele 1998; Geoghegan and Dulewicz 2008; Ramazani & Jergeas, 2015; Lee et.al. 2015
Negotiation Skills	Ability to settle conflict by means of compromising, competing, collaborating,accommodating or avoiding.	Hobday 2000; Al-Tabtabai & Thomas 2004; PMBOK ® Guide 2017; Heagney 2016; Burke & Barron 2014
People Skills	Ability to deal with people in a friendly way, it depicts behoviour	Pant & Baroudi 2008 ; Cowie 2003; Carnall 2018;Bratton & Gold 2017

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Political & Cultural Awareness	Ability to recogonise project environment and cultural differences to incorporate them in project plan.	Morris et al. 2006; Hodgson & Muzio 2011; PMBOK ® Guide 2017 ; Wang et. al. 2017
Professionalism & Ethics	Ability to drive ethical behaviour and professional conduct	Ljungblom & Lennerfors 2018; Jonasson & Ingason 2018; PMBOK ® Guide 2017; Anantharam &Chen 2016
Team Management	Ability to administer and coordinate a group to perform a task	Meredith 2011; Scott-young and Samson 2008 ; Posner 1987; Zuo et.al 2018; Kerzner 2018

Stream 7 – Leadership, Governance and Strategy

Refereed Delivered Paper

Shareholder activism: a research agenda

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Stream 7 – Leadership, Governance and Strategy

Refereed Delivered Paper

Shareholder activism: a research agenda

ABSTRACT: Despite the growth of research into shareholder activism many questions about the emergence, approach and future direction of activism remained unanswered. These gaps in the literature are a result of both theoretical and empirical limitations, primarily a preoccupation with agency theory and quantitative studies into the relationship between activism and firm performance. This paper introduces a number of new theoretical perspectives and methodologies to address these gaps. Social movement, institutional, population ecology of organisations and the political model of corporate governance theories all proffer new insights into how shareholder activism has emerged, the approach activists adopt and likely future directions, with implications for theorists, regulators, activists and target companies.

Keywords: shareholder activism, agency theory, social movement theory, institutional theory, population ecology of organisations theory, political model of corporate governance.

Research into shareholder activism has grown considerably over the last fifteen years as a record number of shareholder campaigns are initiated around the world (Activist Insight, 2018) and the legitimacy and benefits of the phenomenon have become more contested. Despite that growth questions about the emergence, approach and future direction of shareholder activism remain unanswered (Goranova & Ryan, 2014). These gaps in the literature are a result of both empirical and theoretical limitations. The empirical focus to date has been limited to the relationship between shareholder activism and firm performance, while the theoretical gap is a result of the predominance of agency theory as an explanation of, and justification for, the phenomenon. To address these gaps new theoretical perspectives should be considered and the empirical focus should reach beyond quantitative studies. This will provide a richer understanding of shareholder activism, including the approach activists adopt, the forces that have propelled their rise and the likely evolution of the phenomenon. This has implications for theorists, regulators, activists and target companies. In

particular, a better understanding of the approach and processes of activists may necessitate a review of regulations governing their campaigns, while insight into the likely evolution of activism may result in the need for new corporate governance standards and norms by boards. Accordingly, this paper introduces a number of theoretical perspectives largely ignored in the literature that have the potential to answer new questions about the phenomenon. In doing so, a more comprehensive understanding of shareholder activism can emerge than that offered by agency theory alone. The paper begins by examining the predominance of agency theory in shareholder activism research, then introduces alternative theories that could address unanswered questions before outlining a research agenda.

SHAREHOLDER ACTIVISM AND THE AGENCY PARADIGM

Shareholder activism is defined as the pursuit of corporate influence through the use of 'voice' (Chiu, 2010; Chung & Talaulicar, 2010; Gillan & Starks, 1998; Sjostrom, 2008;). This definition is grounded in the seminal work of Hirschman (1970) on the decline of firms, organisations and states in which he argued there are three responses to that decline - exit, voice and loyalty. In the case of a firm, a shareholder may signal dissatisfaction by exiting through the sale of shares, signal satisfaction by retaining their shares (loyalty) or exercise 'voice' by using their position to influence corporate decisions (Kostant, 1999; Malka, 2017).

This pursuit occurs within a market for corporate influence (Armour & Cheffins, 2012) in which shareholder activists compete with management to shape the strategy and performance of a company. The market for corporate influence presents a mechanism for shareholders to encourage change without assuming control of the corporate entity. Such a market acts as a corrective mechanism through which shareholders can hold management to account (Katelouzou, 2013; Rose & Sharfman, 2015; Sharfman, 2015) similar to the market for corporate control (Manne, 1965).

This paper focuses on financially motivated activists who seek improved financial returns through campaigns that deliver strategic and operational improvements or financial restructuring (Castellanos, Craft, Goihman, Meloche, Silverton & Zepp, 2015). The objective is to capitalise expected future benefits into current day share prices (Alchian & Demsetz, 1972). Such activists can be defensive (ex-post) or offensive (ex-ante). Ex-post activists (defensive) engage in response to underperformance only after an initial investment has been made. Ex-ante activists (offensive) identify undervalued companies in which to invest and then campaign for operational and / or financial changes that will deliver a capital return. For these entities, activism is the reason for being (Armour & Cheffins, 2012). The focus on financial activism is timely given the significant increase in the number and intensity of campaigns over recent years. In the five years to 2018 the incidence of shareholder activism globally increased over fifty percent and more than $70 billion was invested in campaigns over the last twelve months of that period (Activism Insight, 2018).

Agency theory is the predominant theoretical paradigm relied upon to explain and justify shareholder activism and the focus of the research is overwhelmingly quantitative studies that examine the relationship between shareholder activism and firm performance (Goranova & Ryan, 2014). In their highly cited and regarded review of the literature Goranova and Ryan (2014) attribute this to the preponderance of research into the phenomenon having emanated from the finance and economic disciplines.

Agency theory regards shareholder activism as a corporate governance response to the separation of ownership and control and the resultant information asymmetries, power imbalances and shirking (Bebchuk, 2005; Chiu, 2010; Denes, Karpoff & McWilliams, 2016; Gantchev, 2013; Gillan & Starks, 2007; Goranova & Ryan, 2014; Hoffman, Bronn & Fieseler, 2016; Judge, Gaur & Muller-Kahle, 2010; Kahan & Rock, 2007; Kostant, 1999; Malka, 2017; Mitchell, 2006, Rose & Sharfman, 2015). The underlying premise of agency theory is shareholder primacy, which holds 'that

shareholders should have ultimate control over the corporation' (Briggs, 2007, 710). This 'shareholder centric' perspective argues that the responsibility of the board and management is to manage 'the corporation primarily for the benefit of the shareholders' (Rose & Sharfman, 2015: 1018).

The strength of agency theory is that it simplifies one of the central conflicts within the firm, that between shareholders and management. Yet, while it posits explanations about why shareholders as owners engage in activism, it fails to answer a number of important questions, rendering it an incomplete theoretical explanation. The challenge to agency theory is particularly acute when 'neoclassical assumptions are relaxed' (Judge et al., 2010, 271) and the firm is considered as a political or social entity rather than a financial or economic one (Bengtsson, 2007). Unanswered questions can be grouped into two general categories of those that seek to better understand 'why' the phenomenon occurs and 'how' it manifests itself. 'Why' questions include, why have activists emerged as the default response to perceived underperformance, sidelining takeover firms in the market for corporate control? Why do some shareholders engage in activism and not others? 'How' questions include, how do activists acquire and exercise influence, including what strategies and tactics do they adopt in their campaigns? How has shareholder activism acquired legitimacy? How is the phenomenon likely to evolve? In order to answer such questions additional theoretical paradigms must be considered that address these gaps in existing explanations of shareholder activism (Bengtsson, 2007; Goranova & Ryan, 2014; Hayden & Bodie, 2008; Hill, 2000; Malka, 2017). In particular social movement theory, institutional theory, population ecology of organisations theory, and the theory of the political model of corporate governance offer new opportunities to explore unexamined aspects of shareholder activism.

Answering these questions also requires adopting alternative research methodologies. As noted, research into shareholder activism has overwhelmingly utilised positivist and deductive methodologies with a focus on the relationship between activism and firm performance (Coffee Jr &

Palia, 2016; Goranova and Ryan, 2014). The absence of interpretivist and inductive methodologies is widely noted in the literature and it is argued that adopting these methodologies offers the opportunity to address many unanswered questions, particularly 'why' and 'how' questions (Coffee Jr & Palia, 2016; Denes, Karpoff & McWilliams, 2016; Filatotchev & Dotsenko, 2013; Harris, 2011; Ma & Liu, 2016;). For example, interpretive case studies may illuminate the approach and processes of shareholder activism and adopting such a methodology offers the opportunity for new theory development (Darke, Shanks & Broadbent, 1998; Dubois & Gadde, 2002; Eisenhardt, 1989; Flyvbjerg, 2006; Pauwels & Matthyssens, 2004; Siggelkow, 2007; Yin, 2003;). The opportunity offered to more comprehensively understand shareholder activism when adopting alternative theoretical perspectives and methodologies is the focus of the following section.

SHAREHOLDER ACTIVISM – ADDITIONAL PERSPECTIVES

Social movement theory is one approach that addresses questions about why and how activists have emerged as the default response to perceived underperformance within firms. The core contention of social movement theory is that politics, rather than economic or financial theory, is central to understanding shareholder activism (Davis & Thompson, 1994). This theory contends that the agency paradigm is a result of political decisions that have established prevailing governance norms, rather than a firm's natural state. Similarly, shareholder activism is the result of a social movement with shared interests and incentives, a social infrastructure that connects members of the movement, and a capacity to acquire and access the resources necessary for mobilisation. The result has been legislative and regulatory changes providing shareholders with more opportunity to actively engage with target companies (Davis & Thompson, 1994). While social movement theory offers evidence of how politics has facilitated the rise of a more permissive regulatory environment for shareholder activists, however, it does not explain why some shareholders become activists, while others do not? Nor does it explain why campaigns for influence have replaced campaigns for control?

The absence of theoretical explanations for these questions are apparent throughout the literature and is further evidence of the need to consider the forthcoming perspectives in the search for answers (Coffee Jr & Palia, 2016; Denes, Karpoff & McWilliams, 2016; Filatotchev & Dotsenko, 2013; Harris, 2011; Ma & Liu, 2016).

Population ecology of organisations and institutional theory perspectives may offer new frameworks to address these unanswered questions. Population ecology of organisations theory seeks to answer questions about why there are so many different types of organisations and how they acquire legitimacy (Hannan & Freeman, 1977). In the case of shareholder activism, why are there so many different types of activists, such as institutional, high net worth individuals and hedge fund activists? Furthermore, how has this community of activists gained legitimacy in their contest with takeover firms, how is the community of activists likely to evolve over time and what challenges might they face once legitimacy gives way to competition for resources as suggested by density dependency theory? (Baum & Shipilov, 2006).

Institutional theory addresses similar issues, particularly legitimacy and the forces that drive the birth and death of firms. Like the population ecology of organisations perspective, institutional theory challenges the classical economic view of firms and thus excludes agency theory as an explanation for organisational behaviour. However, institutional theorists ask why so many organisations are the same as opposed to population ecology's concern for why there are so many different types of organisations (Hannan & Freeman, 1977). This focus on isomorphism in all its forms, coercive, mimetic and normative (DiMaggio & Powell, 1983), may allow for an understanding of why particular types of shareholders emerge to become the dominant type of activist within a broader population of shareholders and / or activists. For example, hedge funds may emerge as the dominant activists because of regulatory regimes that make it easier to raise money vis-à-vis other activists and institutional theorists ask to what extent their structure and approach become normative.

Agency, social movement, organisational ecology and institutional perspectives all have something to say about the motivations of shareholder activists and how the external environment shapes their rise and fall. None, however, provide an understanding of how shareholder activists acquire and exercise their influence and what strategies and tactics they adopt? This lack of research into the processes and approaches of activists and what this may tell us about the nature of their relationship to the firm is another notable gap in the literature (Malka, 2007). Better understanding activist tactics and their effects would allow for an analysis of whether their success is the result of the underlying merits of their proposals or rather because the adopted tactics have become more effective at delivering desired outcomes. In short, do the outcomes of activism reflect the proposals or the effectiveness of the adopted strategies? (Denes, Karpoff & McWilliams, 2016; Harris, 2011;).

One theory for understanding the approach and processes of shareholder activists is that companies are political, rather than economic, entities and that activists engage in a political model of corporate governance (Bebchuk, 2005; Carlisle, 2014; Dunlavy, 2006; Goranova & Ryan, 2014; Hill, 2000; Margoc, 2016; Mitchell, 2006; Pound, 1993). This model is an '… approach in which active investors seek to change corporate policy by developing voting support from dispersed shareholders, rather than by simply purchasing voting power or control' (Pound, 1993, 3). Despite the sizeable number of scholars arguing the case for firms as political entities and shareholder activism as a political contest, however, there are no notable studies that establish an empirical relationship between the two. For example, Pound (1992, 83) makes the case that '… politics will replace takeovers as the defining tools for corporate governance challenges …', yet nowhere in his paper is there a discussion of the theory, structure, strategies nor effect of political campaigns against which such a claim can be tested. This silence is apparent throughout the literature (Malka, 2017).

Understanding the extent to which shareholder activism can be viewed as a political construct would have significant implications for policy makers, regulators, boards, shareholders and activists alike as they consider how to regulate, respond to and develop campaigns. For example, if shareholder activism can be understood as a political contest, should activist campaigns be governed in a manner similar to political campaigns with consideration given to issues such as voting rights, campaign finance and an independent authority to oversee such campaigns? The importance of such questions has been increasingly noted in the literature as scholars argue for new studies that can better define and explain the approach, strategies and tactics of shareholder activists upon which a theory of shareholder activism as politics can be built (Coffee Jr & Palia, 2016; Denes, Karpoff & McWilliams, 2016; Filatotchev & Dotsenko, 2013; Harris, 2011; Ma & Liu, 2016).

The number of unanswered questions about the shareholder activism phenomenon and the potential for hitherto largely ignored theoretical perspectives to provide answers highlight the considerable research opportunities that remain open to scholars. Table 1 summarises those opportunities.

Insert Table 1 here

Pursuing each of these research opportunities has a number of practical implications in addition to broadening the theoretical explanations of the phenomenon. For example, additional research from the social movement perspective proffers insight into how shareholder activists have, and may continue, to acquire and exercise social and political legitimacy and what this may mean for regulatory reforms that strengthen their position in relation to other shareholders and boards. Equally, research that affirms the political model of corporate governance may necessitate reforms to the regulation of activist campaigns. The population ecology of organisations perspective may allow governance experts to better understand how the population of activists may evolve over time, particularly whether there is a point at which their seemingly inexorable rise is stunted by their

competition for financial resources, while institutional theory may offer insight into whether hedge funds are likely to remain the dominant type of activist or are to be replaced as a result of regulatory or other isomorphic forces. The proceeding section proposes a research agenda to explore these issues.

SHAREHOLDER ACTIVISM – A RESEARCH AGENDA

The potential for multiple theoretical perspectives to better inform an understanding of shareholder activism poses an immediate challenge to agency theory as the predominant paradigm in the field. In particular, alternative theories challenge the classical, economically rational view of the firm with shareholder primacy at its core. Yet to date, none has mounted a credible case for dislodging and replacing agency theory (Hayden & Bodie, 2008; Lan & Heracleous, 2010). This suggests the need for a research agenda that can better develop each perspective. However, rather than viewing different perspectives as competing there is an opportunity to view them as parts of a larger body of research, with each addressing a core question of 'what', 'why' and 'how', which when considered together provide a more holistic and comprehensive understanding of the phenomenon.

A research agenda could start with the motivation of shareholder activists. At first glance, agency theory presents a viable perspective in arguing that shareholders as owners are acting in their best interest in pursuit of improved returns. Yet this answer omits some important considerations. Firstly, do shareholders own the firm? While this is the assumption of economic and financial theories of activism it has less basis in legal theory, which regards the corporation as a legal entity in its own right, with governance rights held by the board leaving shareholders with a claim on residual cash flows (Chiu, 2010). Furthermore, agency theory fails to account for competing agendas among shareholders, which may be heterogeneous (Goranova & Ryan, 2014; Hayden & Bodie, 2008; Hill, 2000; Malka, 2017). For example, competition and conflict may arise between those with short and long-term investment horizons or between institutional and retail shareholders. All of these questions

suggest the need for greater clarity on the status of shareholders as owners and the need for agency theory to distinguish between different types of activists with competing agendas. Furthermore, while agency theory may explain why shareholder activists emerged to challenge corporate boards in the first instance other theories could reveal how the presence of activists has become normalised (e.g. institutional theory) and the extent to which their ongoing existence has more to do with the survival needs of the resultant industry of activists and advisors (e.g. population ecology of organisations theory) than continuing to meet a corporate governance need.

Regardless of motivation, how have activists emerged as the preeminent market response to corporate governance challenges? In particular, how have they displaced takeover firms, whose pursuit is control, not influence? Furthermore, how have particular types of firms emerged as the dominant activists within the shareholder community? All of these questions raise issues of legitimacy and resource access and utilisation, which could be addressed by population ecology of organisations and institutional perspectives. These perspectives, particularly population ecology theory, may suggest future directions for the phenomenon. For example, what can the study of senescence and obsolescence within the field of population ecology tell us about risks to shareholder activists? Research that adopts these theoretical perspectives could vastly improve our understanding of the rise of shareholder activists and likely challenges to their unique position in the corporate governance landscape.

A research stream exploring how activists acquire influence in pursuit of their objectives may offer new insight into the nature of the relationship between shareholders and firms. In particular, empirical support for the theory of a political model of corporate governance would constitute a significant challenge to economic and finance theories of the firm. In practice, viewing the firm as a political entity, rather than an economic entity, would necessitate a re-think of the structure of that relationship with implications for the balance of power within firms. For example, should the same

principles that govern political campaigns apply to shareholder activist campaigns? This may result in campaign subsidies or new voting structures - such as one shareholder, one vote rather than one share, one vote - to improve the franchise of smaller shareholders (Harris, 2011). In summary, the effect of viewing shareholder campaigns as political contests would be to apply the normative framework of the latter to the former with significant implications.

Such research must move beyond the quantitative studies focused on activism and firm performance and instead adopt a qualitative approach that is capable of explaining the processes of shareholder activism. Consequently, studies into the processes of shareholder activism will address the preponderance of quantitative research in the field (Coffee Jr & Palia, 2016; Goranova and Ryan, 2014). In the case of the political model of corporate governance case studies utilising inductive and abductive approaches may serve to strengthen a construct that is yet to be fully formed. Case studies would allow for both theoretical and practical contributions by addressing questions of 'how' and 'why' in the field (Yin, 2003), where theory building is strengthened by its relationship to the empirical world (Eisenhardt, 1989; Gioia, Corley & Hamilton, 2012).

Multi-theoretical approaches may also be useful in future research. For example, the theory of the political model of corporate governance may augment social movement theory to provide deeper insight into how shareholder activists create a permissive normative environment for their campaigns through the use of political strategies and tactics. The adoption of those strategies and tactics may also better inform our understanding of how activists pursue their objectives once a movement has been formed, thereby extending the contribution of social movement theory from an explanation of the creation of a permissive normative regime to an explanation of how that movement then achieves outcomes in individual campaigns. Indeed, the political model of corporate governance offers the opportunity to close the gap between any theory that seeks to explain the motivation of shareholder

activists, the forces that have driven their emergence and how they have actively pursued their objectives on a case by case basis.

CONCLUSION

Despite the growth of research into shareholder activism over the last fifteen years many questions remain unanswered. This is largely a result of scholars relying too heavily on agency theory limiting our understanding of the phenomenon. This necessitates the need for a research agenda that tests not just the efficacy and benefit of shareholder campaigns but also theoretical explanations that provide a more complete understanding of activism, which in turn is likely to affect normative perspectives. This paper has outlined a research agenda to that end. It proposes a number of theories that can address critical questions about the emergence, approach, impact and future of shareholder activism. Such an agenda offers the prospect of a stronger and more comprehensive theoretical foundation for the study of shareholder activism at a time of significant growth in the number of campaigns effecting billions of dollars in equity markets around the world.

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Tables

Table 1

Research streams	Theoretical perspectives	Methodology	Question type	Previously addressed?
Impact on firm performance • share prices • financial outcomes • operational performance • CEO tenure	Agency theory	Quantitative / Deductive	What?	Yes
Rise of shareholder activists	Social movement theory	Qualitative / Inductive	Why? How?	Partially
Types of shareholder activists	Population ecology of organisations theory	Qualitative / Inductive	Why?	No
Shareholder activist legitimacy	Population ecology of organisations theory	Qualitative / Inductive	How?	No
Future evolution of shareholder activism	Population ecology of organisations theory	Qualitative / Inductive	How?	No
Dominance of hedge fund activists	Institutional theory	Qualitative / Inductive	Why?	No
Shareholder activist strategy and tactics	Political model of corporate governance	Qualitative / Abductive	How?	No
Shareholder activist motivations	Agency theory, institutional theory, population ecology of organisations theory	Qualitative / Inductive	Why?	No

10. Organizational Behaviour
Interactive Session

Fair Pay Judgement in Mainland China

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Fair Pay Judgement in Mainland China

ABSTRACT

Company's performance will be negatively affected if most of the employees feel that they are unfairly rewarded. Since 1978, China has undergone economic reform. Many new policies were carried out in the past four decades. Lee (2003) found that Mainland Chinese employees preferred to use the equity principle and equality principle for reward allocations. As both political and economic environment are undergone many changes in the past decade since 2003, the organizational behavior of employees in Mainland China are expected to have changes now. It is suspected that equity principle will be the dominant principle that is preferred in Mainland China now. A survey will be conducted to test the hypotheses.

Keywords: Distributive justice; Fairness; Pay Judgment; Mainland Chinese.

10. Organizational Behaviour Interactive Session

Since 1978, Mainland China (China) has established special economic zones (SEZs) and permitted foreign direct investment (FDI). During the past several decades, China has undergone many economic reforms. From 1979 to 2010, China maintained an annual GDP growth rate of 9.9% and becomes the world's second largest economy (Lin, 2013).

Despite the economic growth, there were indications that productivity and quality had been a problem for the enterprises in China (World Bank, 1995). It was found that many problems and failures of the enterprises in China were associated with the problems in the area of human resources management, particularly in performance motivation and staff retention (Jackson & Bak, 1998). Studies found that the pay issue was one of the highest causes of perceived difficulties faced by the JVs in China (Lu, Child & Yan, 1997). Pay issue became a problem probably because of the special situation of China: production and reward system were changing, with less emphasis on egalitarianism and a stronger emphasis on efficiency and performance (Giacobbe-Miller, Miller & Zhang, 1997; Jackson & Bak, 1998). Cyr and Frost (1991) had suggested that Chinese workers were shifting towards a value system which was more goal-achievement oriented rather than egalitarian.

China had implemented the "iron rice-bowl" employment policy in the 1950s. It was based on a combination of Soviet-style industrial relations and direct urban labour allocation. Originally, this system was intended to protect skilled workers after 1949's liberation. However, it was eventually spread to cover the majority of urban workers. After graduation, young Chinese workers were allocated jobs by the local labour bureau. Workers had no choice to decide their own occupations. They were assigned to work units which registered their citizenship. Labour mobility was minimal since citizenship registration fastened the workers to their work units. In general, once the job was assigned, workers would stay on until retirement. Thus it can be said that Chinese workers enjoyed "lifetime employment".

Being a collectivistic country and having Confucianism doctrines, there was a need to preserve group harmony in China. Thus, there were egalitarian reward systems under the past employment situation. There was an eight-grade wage system (Warner, 1995). Same wages were received by the workers who were in the same level regardless of their contribution. Since the "iron rice-bowl" policy greatly depressed the enthusiasm, initiative and creativity of both enterprises and their employees, it was believed that this policy was one of the main reasons for the low productivity (Zhu & Dowling, 1994).

In order to attract more FDI, the China government significantly changed its employment policy in 1995. The "iron rice bowl" policy no longer existed, being replaced by a "Contractual Labour System". Under this new system, foreign enterprises had more autonomy to recruit suitable staff from the local labour markets. Egalitarian reward system was replaced by a new system in which enterprises could decide their own reward levels and rewards were more closely linked to performance. New employees signed contracts with enterprises and redundancies were sanctioned. Thus, if the performance of the new employees were not satisfactory, they would be terminated.

It is expected that enterprises can enjoy more control over their workforce and the means of improving labour productivity under the new employment system (Benson, 1996). As a result, enterprises in China have moved away from centrally planned job allocation, life-time employment and egalitarian pay towards open job markets at management and non-management levels, contractual employment where pay and longevity are based on individual worker and company performance and compensation plans that recognize differences in skills, training and job demands (Ding, Fields & Akhtar, 1997:595).

10. Organizational Behaviour
Interactive Session

Since 1988, enterprises in China are given the authority to establish the wages and incentives for their own conditions (Giacobbe-Miller et al., 1997). When the enterprises design a wage system for themselves, one important issue need to be considered. This is the issue of distributive justice (Chen, 1995; Mathur & Jai-Sheng, 1987). Distributive justice refers to the perceived fairness of the amounts of reward employees received (Folger & Konovsky, 1989). Failure to design systems that are consistent with the cultural values are likely to lead to widespread dissatisfaction and resistance (Beatty, McCune & Beatty, 1988). It will also lead to dysfunctional effects such as poor productivity (Wagner & Moch, 1986). As both political and economic environment are undergone many changes in the past several decades since 1978, the organizational behaviour of employees in China are expected to have changes. It is suspected that equity principle will be the dominant principle that is preferred in Mainland China now. Thus this research tries to examine the distributive justice value of the workers in China and how their fairness judgments are made under the current situation.

Perceived fairness in the distribution of reward across employees is a key ingredient in a successful compensation system (Milkovich & Newman, 1996) and it is already noted that the perceived fairness of pay correlates negatively with absenteeism (Eisenberger, Huntington, Hutchison & Sowa, 1986). Demand for talented employees in China is rapidly outpacing the available labour supply (Levine, 2006). Due to this labour shortage, enterprises in China have to minimize the turnover of talented employees. Consequently, identifying suitable human resource practices that can retain talented employees is becoming a priority. As a result, there should be interest in understanding how to make fair pay judgment.

10. Organizational Behaviour
Interactive Session

LITERATURE REVIEW

Adams Equity Theory

Adams' Equity theory (1963, 1965) argues that a major input of job performance and satisfaction is the degree of equity or inequity that people perceive in their work situation. Equity assessment involves a comparison of one's inputs and obtained outcomes relative to a referent. Equity would exist for an individual whenever he/she perceives that the ratio of his/her outcomes to inputs and the ratio of other's outcomes to other's inputs are equal. Inequity would exist if these two ratios are not equal.

Adams (1963) defines "Person" as any individual for whom equity or inequity exists and "Other" as any individual or group uses by Person as a referent when he/she makes social comparisons of his/her inputs and outcomes. The relevant Other may be a co-worker, a colleague, a relative, a group of co-workers or may be Person in a job that he holds previously (Adams, 1965). Examples of perceived input variables are age, sex, education and how hard the person works, etc. (Adams, 1965).

Outcomes could be intrinsic and extrinsic rewards such as pay, promotion or intrinsic interest in the job. In essence, the ratio is based upon the person's perception of what the person is giving (inputs) and receiving (outcomes) versus the ratio of what the relevant other is giving and receiving. Since the ratio is based on one’s perception, therefore the ratio may or may not reflect the actual, realistic situation.

Research findings suggest that pay equity will influence three aspects of lower-level employees' motivation. They are: commitment to top-management goals, effort, and cooperation

(Cowherd & Levine, 1992). Firstly, lower-level employees who feel disadvantaged are less supportive to the goals of the over-rewarded group (Hatfield & Sprecher, 1984). Besides, pay equity will affect lower-level employee's work effort in such a way that if they experience inequity, they are more likely to attempt to change their objective situations by decreasing their inputs than by increasing their outcomes. Lastly, pay equity will influence the level of cooperation between organization members by affecting their cohesiveness (Cowherd & Levine, 1992). Pay inequity will create interpersonal resentment which will weaken the affiliative emotional bonds between organization members. As a result, pay inequity will reduce the willingness of organizational members to cooperate. Furthermore, large wage differences between organizational levels will damage cohesiveness by increasing competition for promotions.

Distributive Justice

The issues of distributive fairness arise when resources are allocated because people care about relative distributions, not only the absolute quantity of resources they receive. Adams (1963, 1965) had considered the equity norm in an exchange relationship.

While numerous researchers have tended to examine distributive justice only from the equity perspective (Gilliland, 1993), some other researchers believed that there were multiple allocation rules and while equity was important, it was not the only norm of distributive justice (Sondak, Neale & Pinkley, 1995). Deutsch (1985) extended equity theory by incorporating the possibility that other distributional rules of relative contribution may influence perceptions of distributive fairness. Other than equity, equality and needs are also used as criteria in resource distribution.

Distribution principle is an important concept in understanding reward systems (Mowday, 1991). Distribution principles identify the association between the dimensions of evaluation and the levels of outcomes to be distributed. It is suggested that different principles may govern the distribution of rewards in organizations and different factors may weigh more heavily in allocating rewards using any given principle. Accordingly, allocations of rewards make on the basis of any one or more of distributive principle(s) will be perceived as fair by individuals who prefer the respective distribution principle(s). The basis will be perceived as unfair if individuals do not prefer such principle(s). Our ability to predict what individual employees think about the reward system therefore depend upon identifying the particular principle that they believe should be followed and the specific dimension (i.e. input) that they feel is most important in allocating rewards.

It was suggested by Deutsch (1985) that in cooperative relations in which economic productivity was a primary goal, equity would be the dominant principle of distributive justice. Whereas in cooperative relations in which the fostering or maintenance of enjoyable social relations was the common goal, equality would be the dominant principle. When the fostering of personal development and personal welfare was the common goal, then need would be the dominant principle. Generally, equity was typically thought of as promoting productivity, equality and need as promoting commitment to the group.

Therefore, Deutsch (1985) believed that the economically oriented groups would tend to use the principle of equity, solidarity-oriented groups would like to use the equality principle, and the caring-oriented groups would prefer to use the need principle as their basic value underlying the system of distributive justice. As in China, being a socialist society in the past, equality principle was used to allocate the reward to employees. However, China is now under economic reform, moving

from a socialist oriented society to becoming a more open economy, thus equity principle is used increasingly more frequently when allocating rewards.

Egalitarian distribution of rewards was used in the China in the past (Chen, 1995; Jackson, 1992; Giacobbe-Miller et al., 1997). Recent research found that the preferences of reward distributions of managers (most of them were from state-owned enterprises in China) were based on the equity rule (Chen, 1995; Giacobbe-Miller et al., 1997; Lee, 2003). However, in actual practice, managers were more concerning about group harmony (perhaps resulting from their collectivist culture), and it was found that there were more egalitarian distributions (Giacobbe-Miller et al., 1997). Therefore, the distributive principle used in China have not yet completely changed from equality principle to equity principle.

Previous Employment Situation in China

Before the economic reform in 1978, the employment system in China was characterized by centrally planned job allocation, guaranteed life-time employment, an egalitarian pay system and cradle-to-grave welfare benefits (Ding, Fields and Akhtar, 1997:596). Enterprises had little discretion in hiring, firing and wage setting.

Under this employment system, job assignments were centrally allocated by the state and citizens had no freedom to choose their own jobs. Every year the government would work out the quota for employment and each local labour bureau would then assign a quota to the enterprises. Enterprises had no authority to use selection processes which were common in Western enterprises (Zhu and Dowling, 1994) because all the employees were assigned by the government. The criteria for job assignments were often based on political orientation rather than on merit (Ding, Fields and

Akhtar, 1997). Sometimes, there were occupational inheritance, i.e., sons would inherit father's position in the enterprise (Von Glinow and Teagarden, 1988). In addition, enterprises were not allowed to discharge workers, even if they had over-employment and even if particular employees were lazy or negligent (Child, 1994).

Apart from lacking decision rights regarding recruitment, enterprises also had no right to alter the total amount of their payroll or the total number of employees. The wage and benefit system could be characterized by absolute egalitarianism. There were minimal wage differentials among all grades of employees in the enterprises. The highest pay received in the enterprise may be no more than four times the lowest salary (Huo and Von Glinow, 1995). There were fixed wages at each grade (Zhu and Dowling, 1994). This fixed wage system was called the "iron wage system". As hard-working employees got the same pay as the less performing ones, this "iron wage system" essentially encouraged poor performance. In addition, a low wage policy was pursued at that time (Nyaw, 1995). It was because in order to maintain full employment, wages had to be kept low in order to be spread across the entire workforce (Yabuki, 1995). Based on socialist principles and the Chinese collectivist culture, in the 1950s (under Mao regime), the government of China had a conscious effort to equalize wages (Giacobbe-Miller et al., 1997).

Besides, enterprises needed to take total care of their employees by providing them not only with wages, but also housing, social and medical insurance (Verburg, 1996). Thus, enterprises had to act as a welfare institution which resulted in bearing a great burden on providing social welfare but with a low productivity.

As a result, under this centrally planned economy and having adopted an equality principle on rewards distribution, an egalitarian pay system was practiced and life-time employment was enjoyed by workers. There was no linkage between individual performance and reward. The wage budget became a heavy burden for the enterprises and at the same time, they also suffered from low labour productivity.

Under the old employment system, motivation of employees in China became an interesting issue. It was because usage of monetary rewards as a motivation strategy was limited. Motivation for employees in China was assumed to be influenced by political and ideological work and spiritual encouragement, but meaningful tangible rewards were greatly limited (Zhu and Dowling, 1994). Prior to 1980, “spiritual incentives” were preferred to material incentives. For those employees who performed better were given titles such as “Model Worker” (Von Glinow and Teagarden, 1988). Extrinsic rewards were seldom used to motivate employees in China.

Current Employment Practices in China

After the economic reform, China has gradually transformed its planned economy towards market economy. New labour laws are promulgated to aid in this transformation. The 1995 Labour Law of the China has had the most significant effect on the enterprises. Under this law, new workers need to sign individual contracts with the employers. Up to two years’ probation period may be put on new employees. At the end of the contract, if the worker's performance is unsatisfactory, the contract will not be renewed. A survey conducted by the International Labour Office (ILO) in 1995 found that over two-thirds of employees in township enterprises were on contracts.

This contract system is significantly different from the traditional ‘Iron rice-bowl’ policy. All enterprises in China have greater autonomy to recruit employees rather than have staff recruitment

assigned by the state. They are free to determine the size of their staff and recruit suitable personnel according to their own business needs. The ILO survey (1995) found than 70 per cent of those newly employed in township enterprises were recruited by direct application.

Employees have more opportunities to match their own skills and knowledge with their work. Posts may be filled by internal appointment, by advertising in newspapers or through contracts with the labour bureau. Selection tests, which include intelligence and aptitude tests and interviews are used.

In addition, a welfare system by means of a social security fund has been introduced since the late 1980s. The burden of social welfare has been shifted from enterprises to national level. Healthcare is being handled through a central fund managed by provincial or city governments. It is funded through payments by both employers and employees. Employers pay the equivalent of 21% of an employee's wage, while employees contribute 3 per cent of the salary (Gregory & Wales, 1996).

These new systems have great motivational implications for the enterprises. Compensation practices are no longer based on seniority, political orientation, interpersonal skills nor nepotism. Criteria are based on individual skills, individual performance, individual qualifications, individual abilities, company performance, etc. (Ding and Warner, 2001). That means the dominant principle used for the compensation system has been changed from equality principle to equity principle. According to Bozionelos & Wang (2007), it was found that Chinese employees preferred equity-based rewarding than equality-based rewarding.

Since 1988, most of the enterprises are given the authority to develop their own reward system and in order to develop a successful reward system, it is necessary for both employers and employees to perceive this reward system as being fair. Since equity principle has currently been used as the dominant principle in China when distributing rewards rather than equality principle, the nature as well as the importance of factors used in evaluating the fairness of the reward system may change. As a result, we need to find out what kind of factors will the employers and employees use to make their fair reward judgments under this new employment system.

RESEARCH PROPOSITION

There are three principles in distributive justice: equity principle, equality principle and need principle (Deutsch, 1985). Each of them is based on different criteria when distributing the amount of reward. Lee (2003) found that Mainland Chinese preferred to use the equity and equality principle for reward allocation while they did not prefer to use the need principle. China has undergone many changes in both political and economic environments since 2003. China is now more market oriented, therefore it is hypothesized that: **Mainland Chinese employees will prefer equity principle when making fair pay judgment.**

Lee (2003) developed a three-factors scale (19 items) of input criteria for fair reward judgment. It was found that two factors: equity and equality (with 15 items) were considered as important determinants of pay fairness by the Chinese employees. In order to test the hypothesis, all these 19 items would be used to test the respondents in China. Questionnaires will be distributed to the employees in the enterprises in China. Several enterprises (privately owned and/or state-owned) in different industries will be selected and the participating organizations will be asked to

randomly select employees from their workforce. These employees will be given a written

questionnaire to fill in and asked to return the completed questionnaire directly to the researcher.

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Reverse Logistics: From Chitty, Chitty, Bang, Bang to Fast and the Furious

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Introduction

Reverse Logistics (RL) has been researched since the late 1960s, however, in only the last ten years it has gained prominence (Jayant et al., 2012a, b; Chan et al., 2010; Chan and Chan, 2008). At the same time RL is still being defined and is still maturing, moreover, ongoing research into this subject brings out appropriate methods to be implemented, much remains to be said, much remains to be suggested (Aït-Kadi et al.,2012). In recent years, RL has also become more prominent in both the business community and academia, spanning such diverse areas as recycling, remanufacturing, information technology, warehousing, operations, and environmental sustainability, among others (Dowlatshahi, 2012; Hazen *et al*., 2011; Lee *et al*., 2009; Pokharel and Mutha, 2009; Venkatesh, 2010). The author argues that RL has come along way and uses movie titles to analogise its development from over time. Chitty, Chitty Bang, Bang was a movie produced in 1960s with the veteran actor Dick van Dyke about a vintage racing car built in the 1920s that made whistling sound. In the recent times the Fast and the Furious movies are about high speed street racing with Internet of Things (IoT) dating back to 2000 with reference to Brian O'Connor the character played by the late Paul Walker "racing in reverse" with a powerful Mitsubishi Evolution. Thus, RL has come a long way, and the best is yet to come: moving from industry revolution 1.0 to industry revolution 4.0 with the emergence of wicked problems, megatrends and ecosystems and the circular economy.

Over time Mahadevan (2019) found that RL is a vital part of the broader SC operations in the global economy. Organisations still consider RL as a necessary "evil" rather than an opportunity for future performance (Genchev et al.,2011). Thus, the question of why RL has become increasingly important. Kersten et al (2012) identified 16 Megatrends in the context of broader supply chain management (SCM), and reverse logistics (RL) in one of them. Sarkis et al., (1995) views the industrial world as a natural system – one part of the local ecosystems and the global biosphere. Industrial ecology offers a fundamental understanding of the value of modelling the industrial system on ecosystems to achieve environmental performance.

The author found that Sagoff (1997) pointed in 1994, when delegates from around the world gathered in Cairo for the International Conference on Population and Development, representatives from developing countries protested that a baby born in the United States will consume during its lifetime twenty times as much of the world's resources as an African or an Indian baby. Sagoff (1997) in his report also pointed out that in the 1970s Paul Ehrlich, a biologist at Stanford University, predicted that global shortages would soon send prices for food, fresh water, energy, metals, paper, and other materials sharply higher creating a Megatrend. Moreover, the achievement of sustainable development in the supply of minerals poses significant challenges for governments and public administrations on all levels, because ensuring a sustainable supply constitutes a "wicked" problem that has no clear set of alternative solutions due to its social, institutional and scientific complexities (Endl, 2017). This leads to the Megatrend of raw material shortage globally. The author argues that this shortage of raw materials has led to the development of circular economy (Genovese et al., 2017). Simultaneously, the reverse SC for products is growing in prominence due to legislations, sustainability and the advent of the circular economy (Genovese et al.,2017). Thus, the circular economy will have a major impact on the broader economy as it requires a fundamental rethink on the role and function of resources in the economy (Preston, 2012).

On the other hand, the Internet has revolutionised shopping for clothes, music, toys, consumer electronics and has been completely redefined in the last 5 years by Amazon, Alibaba and ebay (Jayant *et al*., 2012). The Internet shopping has shaped the forward logistics operations, and in addition the products returns of the online shoppers have also increased exponentially (Jayant *et al*., 2012). Govindan et al., (2012) point out that RL is crucial for online purchases that can have 50% rate of return: suggesting high value operations. In the case of consumer electronics, the return rate is around 6% (Shulman et al., 2010). The author found that consumer electronics returns are as a result of product failure within warranty period (Zaarour et al., 2014). Furthermore, there is a legal, social and moral requirements for manufacturers of consumer electronics to manage the recycling of their products at the end of its useful life as it is expected to produce e-waste in the order of millions of tons (Janse et al., 2010). In reality we are using more products with shorter lifecycles Thus, it warrants for managers to have a robust RL system that can measure and report that will capture the information at source to effectively manage RL operations. However, there are limited discussions of such frameworks or systems in research.

The author found that there has been much research in the forward logistics operations that provides information flow that supports management decision making and enables efficiency. Mahadevan (2013, 2017) Popa-Anica (2012) found that collaborative supply chain (SC) practices (such as supply chain integration and supply chain visibility) in the forward SC enables management to measure effectiveness of the SC, however there are limited discussions in the reverse operations. SC collaboration is a continuously evolving topic in the forward SC. It has grown in leaps and bounds since the 1990s (Bowersox et al., 2007; Ellram, 2008; Ellram 1990) becoming global.

However, Mahadevan (2013) found there is a lack of robust information systems to manage processes in meeting all these environmental social obligations (Daga, 2000: Meade and Sarkis, 2002: Delaney, 2001: Mollenkopf and Weathersby, 2004; Rogers and Tibben-Lembke, 1998). This lack of information systems translates to an apparent lack of supply chain visibility and information sharing along the reverse SC (Mahadevan, 2013). Thus, there is value in extending this research.

The paper starts off with a comprehensive literature review. Next, a methodology is proposed. This is followed the conceptualization of a framework to address the lack of supply chain visibility and information sharing in the RL operations. The next section presents the application in industry.

This is followed by future research, contribution to research, and a conclusion.

Literature Review

The literature review consists of three sections. The first section reviews the existing literature on RL. The next section reviews the research material about collaborative SC practices. The third section reviews the section on the frameworks on SC collaboration.

Reverse Logistics

RL as a research topic is a growth area due to the sustainability needs of global corporations and the growth of online businesses (Rondinelli and Berry, 2000). In the recent years, the RL has gained importance in the broader SC operations across a number of industries. The growth of sustainability for Multinational corporations has forced the "rethinking" their product design and packaging (Rondinelli and Berry, 2000). Thus, the collection and recycling of discarded packaging material according to the author.

Simultaneously, the reverse SC for products is growing in prominence due to legislations, sustainability and the advent of the economy (Genovese et al.,2017). The growth of the circular economy has gained importance (Geissdoerfer et al.,2016). The author noted that the concept of circular economy according to Geissdoerfer et al.,(2016) as a regenerative system in which resource input and waste, emission, and energy leakage are minimised by slowing, closing, and narrowing material and energy loops: this can be achieved through long-lasting design, maintenance, repair, reuse, remanufacturing, refurbishing, and recycling. The circular economy will have a major impact on the broader economy as it requires a fundamental rethink on the role and function of resources (Preston, 2012). Moreover, as metal ores are becoming scarcer, smelters to look for a secondary supply of resources from recycling activities (Di Maio and Rem, 2015), thus raising the bar for sustainability and recycling operations. The reverse SC predominantly known as reverse logistics (RL) in most literature. However, in this paper reverse SC and RL is used interchangeably (Li, 2014).

In recent years, RL has also become more prominent in both the business community and academia, spanning such diverse areas as recycling, remanufacturing, information technology, warehousing, operations, and environmental sustainability, among others (Dowlatshahi, 2010, 2012; Hazen *et al*., 2011; Lee *et al*., 2009; Pokharel and Mutha, 2009; Venkatesh, 2010). Abraham (2011) noted that most research on RL is focused on industries such as automobiles, metal scraps, sales packaging materials, waste paper recycling as reported by Stock (1992) and in the apparel industry by Tibben-Lembke and Rogers (2002) and Svensson (2007).Spurred on by the growth of the circular economy, RL has gown in leaps and bounds focusing in resource recovery.

In recent times the online shopping sector has grown in leaps and bounds (Jayant et al., 2012). Furthermore, the retail RL has emerged as a key management issue within the field of SCM (Bernon *et al*., 2011) and has direct impact on the bottom line of organization (Stock, 1998; Mason, 2002). The return rates can vary from between 5 and 20 per cent (Daugherty et al., 2001) up to around 50 per cent in some sectors (Rogers et al., 2002; Prahinski and Kocabasoglu, 2006). The author indicates that these high rates of return will affect productivity. In managing, such high rates of return the author argues that RL would attract a lot of discussions around the notion of reverse collaboration (RC) with supply chain visibility and information sharing to meet customer service. However, it appears that researchers have inadequately discussed frameworks for RL incorporating collaborative SC practices.

Mahadevan (2019) found that organisations also have products returned from customers back to the multinational corporations to be refurbished, recycled, repaired or resold. Whatever the product may be, the return process is more expensive than the forward process (Daga, 2000). Over time, RL has metamorphasised from the basic refurbishing, recycling, remanufacturing and meeting EPR (Extended producer

responsibilities) guidelines (Lau and Wang, 2009). EPR concerns about the management of a product at the end of its useful life leading to circular economy. According to Govindan et al.,(2015), there are a total of 382 published papers between January 2007 and March 2013 in the area of RL and Close Loop supply chain (CLSC). This emphasizes the importance of RL in the broader business operations. Govindan et al., (2015) further noted that based on environmental, legal, social, and economic factors, RL and CLSC issues have attracted attention among both academia and practitioners.

Whilst performance improvement by means of improving SC collaboration in the forward logistics has gained significant attention, there has been considerable interest in the area of RL within the space of emerging trends with little interest in the performance of the RL operations (Mahadevan, 2013). Mahadevan (2013) also citied Mukhopadhyay and Setaputra (2006)'s research there is an increase in the use of a 4PL as an integrating agent by organisations with the growth over the traditional 3PL services in both forward and reverse logistics. This suggests that there is growth in the RL business engaging 3PL or 4PL service providers and the need to measure the performance of such operations.

Several researchers have attempted to conceptualise RL frameworks with tools such as ERP to manage product returns in a collaborative SC according to the author. Dos Santos and Marins (2015) proposed an integrated model for RL to meet the product returns requirements in an operational manner. However, their framework did not include the integration of various SC tools such as ERP (Enterprise Resources Planning) and WMS (Warehouse Management System) to manage the returns. Likewise, Sharif et al.,(2012), Rogers and Tibben-Lembke (1999) and Shaikh and Abdul Kader (2012) developed frameworks to address different aspects of RL. Sharif et al.,(2012)'s framework leveraged the factors influencing reverse 3PL based on the information systems. Furthermore, the response from the customer back to the originator requires accurate and real time management of information of shipped or returned orders (Daugherty et al., 2002; Evangelista and Sweeney 2006).

In synthesizing the work of researchers (Sharif et al., 2012, Rogers and Tibben-Lembke, 1999, Shaikh and Abdul Kader, 2012), and the concepts supporting forward SC, Mahadevan (2019) developed the reverse collaboration framework (RCF) shown in Figure 1.0. Unlike the forward logistics system, the RL system is not driven by a SOP process and therefore is not pressured by customer demands to deliver the products on time (Daga, 2000). However, the space optimization is an important parameter in a RL process and very often products are returned back to the manufacturer by the reseller in batches (Daga, 2000). This suggests the RCF should include a provision to optimize warehouse floor space.

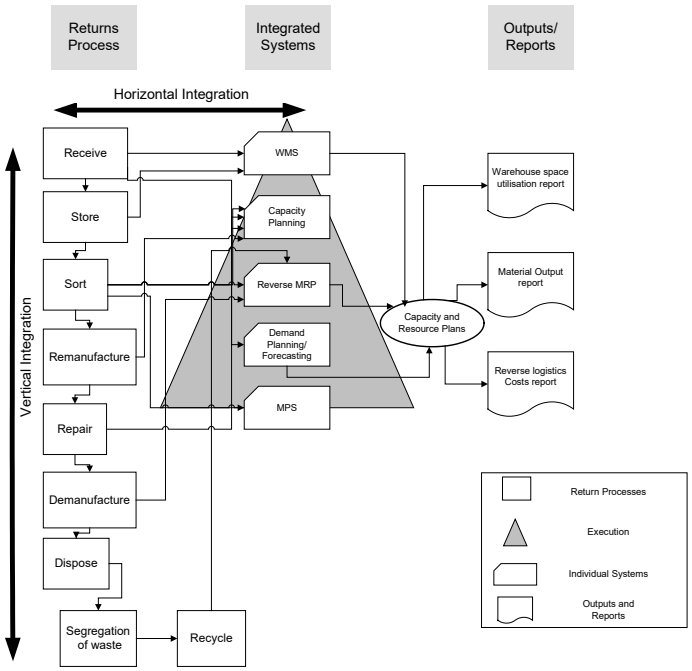

Figure 1.0:Schematic of Reverse Collaboration Framework (RCF)
Source: K.Mahadevan (2019)

Furthermore, Mahadevan (2019) pointed out in Fig 1.0 that relationships can be formed in one of two dimensions in ICT; either vertically or horizontally (Mason *et al*.,2007). Similarly, Barratt (2004) presented a concept in which he identified the four different potential relationship partners, suppliers and customers on the vertical axis and competitors on the horizontal axis. Furthermore, one of the main catalysts to improved vertical and horizontal relationships have been the developments in ICT which have led to the sharing of information (Mason *et al*.,2007) enabling the core processes such as forecasting, production, distribution and product development to become considerably more visible to SC partners leading to collaborative possibilities. Furthermore Liu et al.,(2018) proposes a real time information driven dynamic optimization for sustainable RL using IOT (Internet of Things) connecting RFID, logistics and vehicles to achieve logistics services. Furthermore, Shulman et al.,(2010)'s work on reverse channel structure optimizes product returns.

Based on the work of Liu et al., (2018), Shulman et al., (2010), Mason *et al*.,(2007) and Barratt (2004) the RCF is conceptualised as shown in Figure 1.0: an ERP system comprising of MPS, the reverse MRP and capacity planning are integrated with a WMS and Demand Planning system. By vertically integrating the individual systems as shown in Figure 1.0, a JIT operation can be achieved for the product returns process based on Barba-Gutierrez and Alfonso-Diaz (2009)'s work on reverse MRP according to Mahadevan (2019).

The forecasting model calculates the rate of return of products from the customer based on Barba-Gutierrez and Alfonso-Diaz (2009)'s work on reverse MRP and demand management. The RCF includes the mathematical tool for moving averages, and time series mathematical models that can calculate trends in the return process: the rate of product return from customer is often unknown and is difficult to predict (Shaikh and Kader, 2012). Thus, the repair model manages the repair process of the products returned and it includes spares management and time taken to repair the faulty products. The products after disassembly are then sorted and kept in stock based on Shulman et al.,(2010) reverse channel optimization model. The remanufacture of the products is the process when several faulty products are disassembled and the good parts from these products are used to produce one good working product. The remanufacture model links up to the BOM (Bill of Material) structure of each product. Overall, this framework will reduce the end to end RL operations time by 20% (Mahadevan, 2019).
However, the components of the RCF in fig 1.0 is limited to addressing the RL optimisation in a standalone organisation according to the author. Thus, there is a need to look at the collaborative SC aspects of the RL to address the management problem.

The next section of the literature review presents the discussions about collaborative SC practices and related frameworks.

Collaborative Supply Chain Practices and frameworks

This section firstly discusses about the supply chain collaborative (SCC) practices. This is followed by the work carried out by a number of researchers to measure the effectiveness of SCC effectiveness. Ellram (2008) started off the discussion about collaborative SC practices. Collaboration is about organisations and enterprises working together and can be viewed as a concept going beyond the commercial relationships according to the author. At the same time SCC is an evolving topic and has been in discussion since the 1990s brought into light by Ellram and Cooper (1990). However, these researchers focussed mainly in the forward SC with limited discussion of the reverse SC.

SCC has gained importance over time and has many definitions. Singh and Power (2009) defines SCC as "two or more chain members working together to create a competitive advantage through information sharing, making joint decisions and sharing benefits which result from greater profitability of satisfying end customer needs than acting alone." On the other hand, Ralston et al.,(2017) have categorised SCC into a number of literature streams which include the following: a firm's internal factors; relational factors such as trust; technological factors; collaboration and performance. Collaboration and performance in the context of SCC deals with collaborative practices which is one of the key areas of interest (Mahadevan 2017). Moreover, collaborative SC practices according to Mahadevan (2017) show prominence in organisations wanting to share data with their SC partners, with Supply chain visibility (SCV) and supply chain integration (SCI). impacting on performance and productivity. SCI means close alignment and coordination within a SC, often with the use of shared technology (Elrod et al.,2013). There are several different levels of SCI (e.g. the manufacturer integrating with raw material suppliers or building a

plant closer to the manufacturing plant at a higher level of integration) (Mahadevan, 2013). Further, Mahadevan (2013,2017) in his research has connected 5 variables of SC collaboration which include: supply chain integration (SCI); supply chain visibility (SCV) ; information sharing (IS); understanding of SC partners' information; and ability to influence SC partners. These 5 individual variables have 5 levels ranging from level 1 the lowest and the level 5 the highest shown in Table 1.0. Mahadevan (2013)'s research points out that the level of SCI is classified as: no integration, limited integration, moderate integration; and highly integrated.

Table: 1.0 Categories of core variables across 5 levels
Source: K.Mahadevan (2013)

"Perceived" Level / Core Variables	**Level 1**	**Level 2**	**Level 3**	**Level 4**	**Level 5**
SCI	No integration	Minimal integration	Limited integration	Moderately integrated	Highly integrated
SCV	Limited visibility	Limited visibility	Moderate visibility	Medium visibility	High visibility
IS	None	Limited	Selected information	Moderate	All relevant information
Level of understanding	None	Little	Some extent	Moderate	In depth
Level of influence	No influence	Limited	Partially influenced	Moderately influenced	Fully influenced

In the second part of this section, the author discusses about the frameworks to measure collaborative SC performance. It appears that researchers have mainly focussed on the performance of the forward SC. In the context of SC performance measurement the main purpose is to get information for top management's needs, but also several kinds of SC measures are needed at every management and operational level (Sillanpää, 2015). Van Hoek (1998) in their research paper titled as "Measuring the un-measureable - measuring and improving performance in the supply chain management" pointed out that the management levels in organisations are interested in knowing the problem of measuring SCM.

Likewise, Papakiriakopoloulos and Pramatari (2010) noted the there are challenges in developing a common performance measurement system (PMS) in the context of a CSC. They further added although organisations in SC networks have the constant need to measure performance, the corresponding systems are in practice are isolated. It can be argued that this isolation could lead to the lack SCI that in turn leads to the lack of SCV. Mahadevan (2013) confirms this view in his research.

Similarly, Wiengarten et al.,(2010) found that IS on performance varies significantly depends on the quality of information that is exchanged throughout the SC: they also added that IS improves operational performance when low and high quality information is exchanged. However, those researchers do not discuss the level of SCI. Moreover, the existing knowledge in the area of performance measurement need to be extended to cover the needs of the SC where collaboration and information sharing practices integrated the participating companies

into a single and integrative unit (Papakiriakopoloulos and Pramatari, 2010). Thus, it can be argued that the work of (Papakiriakopoloulos and Pramatari, 2010) and Van Hoek (1998) have partly addressed SC effectiveness in the context of SCI only.

Agrawal and Choudary (2014) have addressed RL performance on product lifecycle, however, have not addressed the collaboration in a RL operations.

Thus, in measuring SC effectiveness and efficiency, researchers have studied the conceptual, metrics and overall performance measurement approaches to meet management needs. Sillanpää, (2015) discussed the process of qualifying the efficiency and effectiveness of the SC and creates SC measurement framework for the manufacturing industry.

Tsanos et al., (2013) noted that the research on the conceptualization of performance encompasses a variety of metrics such as financial and operational performance (Gunasekaran et al., 2004), customer service, cost management (Closs and Mollenkopf, 2004). Further these researchers also view SC performance as the efficiency and effectiveness of SC operations (Caplice and Sheffi, 1994, 1995). These dimensions represent the outcome of SC operations (efficiency) and the external outcome perceived by the end customer (effectiveness) (Mahadevan, 2017).

Moreover, Tsanos et al.,(2013) investigated the metrics for SC effectiveness and SC efficiency. Measuring SC effectiveness, is made up of order fulfilment lead time, average time between and SC flexibility (average time required for SC to respond to unplanned orders), and order fulfilment lead time (average time between order entry and time of order delivery (Tsanos et al., 2013) perfect order fulfilment (ratio of orders delivered complete). In the case of SC efficiency, it is time inventory spends in the SC cycle and SC flexibility. However, Tsanos et al.,(2013)'s work on SC efficiency and effectiveness has not been has not been connected to SCI, IS and SCV in a collaborative SC. In another perspective Gunasekaran et al.,(2004) introduced six metrics for measuring SCM capability and performance, that are based on the following SCM processes with SCOR (Supply Chain Operations Reference) model. Simultaneously, Furthermore, Shepherd and Günter (2006) categorize SC performance measures into five SC processes: plan, source, make, deliver and return or customer satisfaction, whether they measure cost, time, quality, flexibility and innovativeness and whether they are quantitative or qualitative measures. Moreover, measures can be categorized according to business processes or into strategic, operational and tactical management levels (Shepherd and Gunter, 2006). Chan (2003)'s discussion on SCM performance includes both qualitative and quantitative measures. The SCM performance measurement approach (Chan, 2003) consists of quantitative measures are cost and resource utilization and qualitative measures are quality, flexibility, visibility, trust and innovativeness. Likewise, Theeranuphattana and Tang (2008) found that the SCOR model advocates hundreds of performance metrics used in conjunction with five performance attributes: reliability, responsiveness, flexibility, cost and asset metrics. Kirchmer (2004) points out that organisations are using SCOR as a joint communication platform among SC partners. Dwyer (2006), however, suggests that by incorporating the SCOR model within a cross functional environment provides a visibility solution across the enterprise. Dwyer (2006) also notes that the SCOR model adds value to SCV solutions through the addition of standardised metrics and improved communications due to standards-based definitions. Further Dwyer (2006), Haydock (2003) and Kirchmer (2004) pointed out that SCOR is popular in gaining SCV. However, these researchers have not connected the SCOR model to SC effectiveness and

efficiency in their discussions. Moreover, these discussions relate to only the forward logistics with limited discussions with reverse logistics.

Overall, in synthesizing the research work of Tsanos et al.,(2013) Papakiriakopoloulos and Pramatari (2010) and Sillanpää, (2015), it is apparent that there is inadequate discussions surrounding the state of SCI, IS and SCV and measuring the effectiveness of integrated SC from a management perspective. Thus, in addressing this gap it can be argued that collaborative effectiveness that Mahadevan (2017) developed a SC hierarchy framework that measures the effectiveness of the forward SC using collaborative SC practices (SCI, IS and SCV) and leveraging the work of a number of SC researchers and using Maslow's hierarchy of needs (Maslow, 1943). This conceptualisation is shown on Figure 2.0, supported by a statistical relationship between the SC variables (Mahadevan 2013).

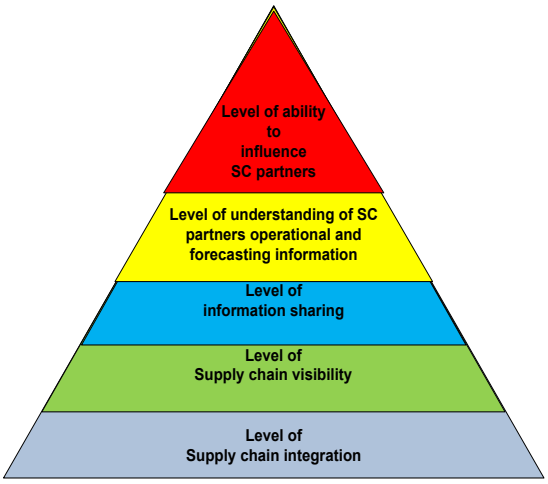

Figure 2.0: Hierarchy of Supply Chain Integration Framework
Source: K. Mahadevan (2017)

Given the level of SCI, IS and SCV represents its individual static position of integration, visibility and information sharing in SC: however, it does not indicate their effectiveness. Therefore, by multiplying the current level of SCI, IS or SCV with the level of understanding and the organisation's ability to influence, the effectiveness of integration, visibility and information sharing is defined (Mahadevan, 2017).

The author found that managers in industry use indices to benchmark their specific operations: an index for example, such as the number of injuries per 100 employees. An index number is a ratio of one value to another where one of the values summarises a given group of items and the other value summarises a base group of items (Selvanathan et al.,2004). In this case, the 'base' group is used as a basis for comparison with the 'given' group. Similarly, indices for SCI, IS and SCV can be defined where managers can use them as an industry guide for the benchmarking of operational effectiveness.

Thus, in synthesising the above discussions, Mahadevan (2017) formulated the SCI index for SC effectiveness (as shown in Figure 2.0) which is applicable for the forward SC. In leveraging the ideas on the collaboration index of Simatupang and Sridharan (2005), three indices are conceptualised, based on the five core variables. According to Blumberg et al. 2001, 2005) there are no benchmarked methods to define indices. Figure 3.0 presents a schematic view of the definition of those indices based on five core variables.

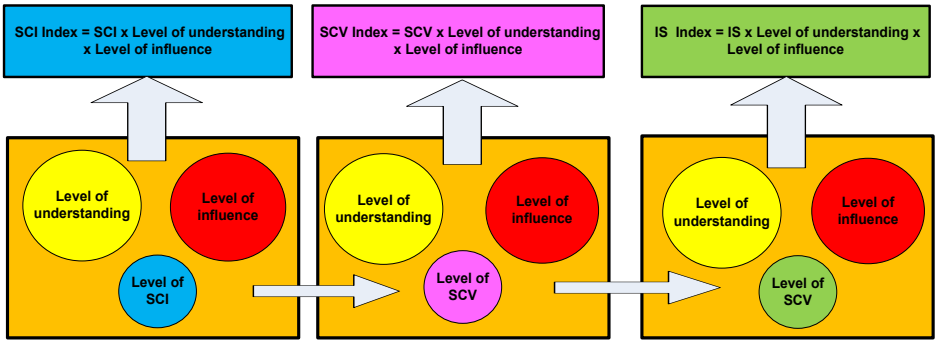

Figure 3.0: Schematic representation of SCI, SCV and IS indices
Source: K.Mahadevan (2017)

Firstly, the SCI index is defined as a product of three variables: current level of SCI, level of understanding of SC partner's information and level of influence of other SC partners (Mahadevan, 2017). The level of SCI refers to an organisation's current position with regards to SCI. However, the current level of SCI does not indicate or suggest its effectiveness. Thus, the SCI Index in an organisation is defined in Eq (1) as:

$$SCI\ Index = Level\ of\ SCI \times Level\ of\ understanding\ x\ Level\ of\ influence\ (1)$$

The SCV index is defined as a product of the level of SCV, the level of understanding of SC partner's information and the level of influence.

The level of SCV represents an organisation's current static position with regard to SCV. However, this level does not indicate or suggest its effectiveness. Thus, the effectiveness of the SCV in an organisation is defined in Eq (2) as:

$$SCV\ Index\ = Level\ of\ SCV \times Level\ of\ understanding \times Level\ of\ influence\ (2)$$

Similarly, an IS index is defined in Eq (3) as:

$$IS\ Index = Level\ of\ IS\ \times Level\ of\ understanding \times Level\ of\ influence \quad (3)$$

Likewise, the level of IS provides the static position of its information sharing level among SC partners. Similarly, the IS Index establishes the effectiveness of an organisation's IS (information sharing).

When the SCI is at the lowest level of 1 (no integration), the Level of understanding is 1 and the Level of influence is 1, the SCI index is 1 (1x1x1), which is the lowest, or being the least effective. On the other hand, when the SCI, level of understanding and level of influence are at the highest level (5), the SCI index is at highest (5 x 5 x 5 = 125) or the most effective. Therefore, the range for the index is from 1 to 125.

When these indices are benchmarked as percentages, the highest and lowest percentages are given by:

$$Highest\ percentage\ Index\ = \frac{125}{125}\ \times 100\ = 100\%$$

$$Lowest\ percentage\ Index\ = \frac{1}{1} \times 100 = 1\%$$

Based on the percentages shown in Table 2.0, the three indices are further categorised into five levels in line with the five core variables. Based on the range of percentages, these indices for SCI, IS and SCV are categorised.

Table 2.0: Effectiveness in terms range of percentage
Source K.Mahadevan (2017)

Categories	Effectiveness in terms of ranges of percentage	Level of effectiveness
Level 1	1 to 10%	Ineffective
Level 2	11 to 25 %	Slightly effective
Level 3	26 to 50%	Moderately Effective
Level 4	51 to 70%	Medium Effectiveness
Level 5	71 to 100 %	Highly effective

Mahadevan (2017)'s work is based on Simatupang and Sridharan (2005)'s work, a combined average of the three indices is calculated. Furthermore, this average is converted to a percentage and given as an appropriate level of effectiveness. The average level of effectiveness is called the "CE or Collaboration Effectiveness". An example of CE index is shown in Table 3.0.

Table 3.0 Collaboration Effectiveness Index
Source: K.Mahadevan (2017)

Core Variables	Current level	SCI Index	SCV Index	IS Index	CE (Collaboration Effectiveness) Index
*LSCI	2	12			(SCI Index + SCV Index + IS Index)/3 = 66/ 3 = 22
*LSCV	4		24		
*LIS	5			30	
*LUND	2				
*LAI	3				

*Note:

LSCI-Level of Supply chain Integration
LSCV – Level of Supply Chain Visibility
LIS – Level of Information Sharing
LUND – Level of Understanding of
LAI – Level of ability to influence

Based on the values given in Table 3.0 of the current level of the core variables,

the SCI Index = 2 x 2 x 3 = 12.

The SCV Index = 4 x 2 x 3 = 24 and the IS Index = 5 x 2 x 3 = 30.

$$Collabration\ Effectiveness\ = \frac{\sum(SCI\ Index\ + SCV\ Index\ + IS\ Index)}{3} = \frac{66}{3} = 22$$

The Collaborative Effectiveness index expressed in terms of percentage is shown below

$$Percentage\ of\ Collaborative\ Effectiveness\ = \frac{22}{125} \times 100\ = 18\%$$

Five levels of effectiveness have been created in line with current levels of the five core variables are shown in Table 4.0.

Table 4.0 Effectiveness Indices by percentage
Source K.Mahadevan (2017)

Categories of Effectiveness	Level of effectiveness	Effectiveness in terms of ranges of percentage
Level 1	Ineffective	1 to 10
Level 2	Slightly effective	11 to 25
Level 3	Moderately Effective	26 to 50
Level 4	Medium Effectiveness	51 to 70
Level 5	Highly effective	71 to 100

Methodology

The literature pointed out that there are inadequate discussions about a framework that connects RL optimisation to collaborative SC effectiveness to measure RL performance. It is apparent that researchers in the field of RL have carried out limited work in developing such a framework. Thus there is need to develop such a framework. It is apparent that other researchers have attempted to connect RL to performance in different ways. The concept mapping approach is used which provides a useful framework to organise and represent knowledge on a topic (Novak and Canas, 2008). Likewise Mahadevan (2017) used concept mapping to connect the established relationship between culture, leadership and organisation learning.

The proposed framework will be referred to as the “Reverse Effectiveness Framework” or REF and is based on the integration of two individual frameworks previously discussed: RCF – Fig 1.0 and SCHF Fig 2.0. The integration of the two frameworks is based on the levels of SCI, SCV and

IS supported by Mahadevan (2013)'s research.

The aim of this framework is to measure the collaborative effectiveness of the reverse SC and optimizing the RL operations to manage the RC effectively. Given, it is a conceptual paper, there is no empirical analysis included in the discussions. However, there is need to demonstrate the collaborative effectiveness with the different levels of SCI, IS, SCV to demonstrate the REF.

The next two sections will present those discussions. Firstly, the conceptualization of REF. Secondly, the application of the REF is demonstrated by using data from an RL operations of a CE organisation.

Conceptualisation of the Reverse Effectiveness Framework

Several researchers have attempted to create a framework for RL performance by using various tools and techniques. However, these frameworks or measures only partly meets the needs of the growing RL needs of organisation. Hall et al.,(2013) found that although the importance of establishing sound metrics is often noted in the logistics literature, few research efforts have examined appropriate metrics for RL processes. The author found that Bansia et al.,(2014) used the Balanced Scorecard (BSC) approach to measure RL performance, whilst Butzer et al., (2017)'s assessment of international reverse SCs is based on BSC and Analytical Hierarchy Process (AHP).

The management problem points out that there is a lack of SCV and IS in the forward SCs despite of the use SCI technology by organisations (Mahadevan 2017, Popa-Anica 2012). The author argues that similar problems exists in RL operations.

Furthermore, the author found most data in the reverse SC are very difficult to obtain and many organisations do not want to provide their reverse SC data due to business reasons, the data is secretly kept (Tonanont, 2009). Therefore, it can be argued that there is limited IS takes place between SC partners in a reverse SC. Thus, the need for conceptualising a framework that optimises RL but also measures performance in reverse using collaborative SC practices.

By using the concept mapping approach, the author creates a link between the two frameworks. The RCF framework integrates systems and processes: thus both vertical and horizontal integration (Mahadevan, 2019). However, Mahadevan's (2019) research does not specify the level of integration in the RCF. On other the hand, SCHF has the hierarchy of the collaborative SC practices, and it is supported by the five levels of SCI, IS and SCV.

This is based on Mahadevan's (2013) research that points out organisations must be integrated before they can have SC visibility and information sharing between SC partners. Using the same logic as shown in Figure 4.0 the author connects the level of Supply Chain Integration (SCI) in the hierarchy with the horizontal and "vertical integration" in the RCF. As discussed previously, the vertical integration in the RCF refers to the integration of processes. On the other hand, the horizontal integration refers to the integration of systems. The author also leverages Mahadevan's (2019) work on the RCF that the horizontal and vertical system can have different levels (in the

reverse SC) of SCI, IS and SCV. Furthermore, each individual organisation can have different levels of SCI, IS and SCV.

Figure 4.0: Reverse Effectiveness Framework (REF)

The RCF optimises and calculates the raw material inputs and outputs. By linking it to the SCHF that provides collaborative effectiveness, it allows organisations to have more control over the information about recycled material that is transferred between the SC partners. In simplifying this framework, the SCHF measures the levels of SCV and IS between SC partners on the information that is fed into the RCF.

Mahadevan (2013) in his research has pointed out that SCI involves in how well systems, data, processes, and information are integrated in the end to end SC. Furthermore Mahadevan (2017) also points out that organisations must be first integrated, before they can have SCV and to share information. Thus, this logic can be applied to the REF.

The “5 levels of SCI, IS and SCV” shown in Fig 4.0 refers to the level of collaboration in the vertical and horizontal integration component REF can apply in their organisation. Mahadevan

(2013) in his research refers this to as the “core variables” or the collaborative variables shown in Table 1.0.

Application of the REF in industry

In order to demonstrate the application of the REF, the author uses the 5 levels of SCI, IS and SCV. Based on the Mahadevan (2019)’s research shown in Figure 1.0, the author argues that the vertical and horizontal component each have different levels of SCI, IS and SCV. Based on Mahadevan’s (2013) work it was noted that SCI, IS and SCV involves the integration of systems, tools and processes. Using the SCI, IS and SCV indices developed by Mahadevan (2017), the collaborative effectiveness for both the processes and systems can be calculated. The author uses arbitrary figures relating to the levels of SCI, IS and SCV to calculate the collaborative effectiveness using the three equations shown in Figure 3.0 assumes those numbers relating to SCI, IS and SCV shown on Table 3.0.

From using the arbitrary values of the SCI, IS and SCV values for the vertical and horizontal integration, the author found the collaborative effectiveness are 18% and 30%. The collaborative effectiveness of 18% for the vertical integration suggests slightly effective. On the other hand, the collaborative effectiveness of 30% for the horizontal integration is moderately effective.

The author argues that the reverse collaborative effectiveness of the RL processes or operations are better performing than that of the systems in this organisation. However, more results are need to strengthen the case.

Table 5.0: Measuring reverse effectiveness

	RCF		SCHF	
	Systems	Processes	Collaborative Effectiveness For Systems	Collaborative Effectiveness For Processes
	Levels 1 to 5	Levels 1 to 5		
SCI	5	4		
SCV	4	3	15%	30%
IS	2	2		
Ability to understand	2	2		
Ability to influence	2	1		

This framework can become part of the industrial ecosystem as pointed in Sarkis et al.,(2012)’s research. The RCF alone can deliver 20% reduction in time for the end to end RL. Thus, by combining it SCHF, organisations can expect to gain significant productivity.

Contribution to Research

The research has connected two other independent research work: reverse logistics; and supply chain collaboration. The REF will provide managers a tool to optimise and measure and control RL operations. Previous researchers have extensively investigated these areas in isolation, and have not focussed on tracking and optimising optimise material recovery in the RL process. This research has fulfilled that gap.

Contribution to Industry

This framework will enable industry practitioners to strategise their RL operations by utilising the entire framework or the relevant parts in applying the resource recovery. The framework will also become part of the industrial ecosystem feeding into the biosphere supporting Sarkis et al (2012)'s view.

Future Research

Future researchers can collect information across a number of different types of RL operations and use the REF to determine the collaborative effectiveness of various types of industries in the RL business.

The concepts behind the sharing economy and IoT (Internet of things) need to be included as it currently has a significant impact on the broader SCM.

Limitations

The research has not focussed on a particular type of industry. Given that according to Govindan et al.,(2015) each industry type can have return rates ranging from 5 to 50 %. This means both the RCF and SCHF possibly needs to be reviewed for the different industry type and the REF configured accordingly.

Conclusions

This research has confirmed that REF can optimise, schedule and measure the collaborative effectiveness of a RL operations in providing visibility to a "wicked problem" in reverse logistics. Managers are able to monitor their RL operations with the REF in real time enabling the resource recovery.

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Stream 4: Health Management and Organisation
Interactive Session

How do clinicians' professional bodies characterise interprofessional care?

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ABSTRACT: *Interprofessional care represents international best practice. Despite evidence of what works to promote it, interprofessional care does not always occur. This might be partly because much research myopically examines health or social care teams, health services, and/or education. This study addresses this by examining how clinicians' professional bodies characterise interprofessional care. An examination of the official websites of 25 professional bodies, spanning five professions and five nations found that, with few exceptions, the strategic foci of these professional bodies did not explicitly recognise the role of counterpart professions. Furthermore, references to these counterparts and interprofessional teamwork were somewhat embedded within the websites and not readily apparent. This suggests considerable opportunity to promote interprofessional care via clinicians' professional bodies.*

Keywords: Health workforce issues; healthcare professions; knowledge translation; managing integrated health services; professional identities.

Integrating health and social care is key to reforms in many countries to address the challenges associated with ageing populations and increased chronic diseases at a time of constraining resources (Goodwin, 2015). The World Health Organization (2011) advocates for care that crosses boundaries between primary, community, hospital, and social care, which necessitates interprofessional practice. Despite international support, interprofessional care is not always achieved (Xyrichis & Lowton, 2008).

Interprofessional care represents best practice, explicitly recognising different sources and forms of expertise to ensure complementarity, rather than duplicative effort or worse still, gaps in care. Interprofessional teams include diverse health and/or social care professionals who collaborate as a mutually dependent group to deliver complex care (Reeves, Lewin, Espin, & Zwarenstein, 2010). Yet, creating the mechanisms and ethos to support such care has been challenging (Dickinson, 2014). Interprofessional teams often demonstrate unique cultures given the professional identities represented within the team that might hinder collaboration (Martin & Rogers, 2004). The varied terms for, and definitions of interprofessional care further complicates how it is operationalised (Best & Williams, 2019).

Given the importance of interprofessional care, and the role of professional bodies in maintaining care standards, this study clarifies how some of these bodies characterise interprofessional care, as defined by Reeves and colleagues (2010).

Although patients with complex conditions often need interprofessional care, this does not always occur. Different professions often: have discrete roles in patient care; are based in disparate departments or organisations; have different payers and regulations; and record information into separate data systems. Interprofessional care therefore requires both systemic and personal commitment (Wells, Chuang, Haynes, Lee, & Bai, 2011).

Interprofessional care requires awareness and positive mutual valuation (Gittell, Godfrey, & Thistlethwaite, 2013). First, professionals must be aware of patients' interrelated needs, like the need for additional education to support medication adherence. Additionally, practitioners need to know which other professionals are currently or should be involved in patient care. Further to awareness, positive mutual valuation supports interprofessional care by enhancing motivation to spend the time required for interprofessional communication. Additionally, positive mutual valuation can help patients to appreciate the importance of each practitioner's role.

Many factors affect awareness and positive valuation among practitioners. For instance, tertiary and continuing education for different professions can engender distinct perspectives on: health(care); as well as the expertise, role, and legitimacy of different professions. Professions often compete for domains within patient care, like assessment and treatment planning (Currie, Finn, & Martin, 2009). Furthermore, different organisations often have diverse priorities – while they might all espouse the importance of wellbeing, they might pursue this aspiration by reducing patient costs, reducing societal costs, and/or variations in between (Williams, 2009). To overcome professional fragmentation, there has been an increasing emphasis on patient-centred care (Lavallee et al., 2016) and interprofessional education to coordinate it across professions (Reeves et al., 2016).

Interprofessional care can also be influenced by the professional bodies that represent health and social care practitioners. Many practitioners, and those studying to be, are members of a professional body. Member benefits typically include contemporary information on factors that can affect workplace practices, like trends in patient needs and regulatory changes. Professional bodies also typically provide ongoing member education and often have periodicals to advance practice. Additionally, many hold annual meetings where members establish and nurture relationships with colleagues and learn about developments in their field. Thus, professional bodies have an important role in promoting interprofessional care.

This study sought to clarify how professional bodies promote interprofessional care. Specifically, it considered how they characterised such care, given their influence on professional standards and norms. This was achieved by reviewing the most visible representation of professional bodies – namely, their websites.

METHOD

The official websites of 25 professional bodies were examined, spanning five professions and five nations (see Table 1). For this study, a professional body is understood to be 'an organisation with individual members practicing a profession or occupation in which the organisation maintains an oversight of the knowledge, skills, conduct and practice of that profession or occupation' (Science Council, 2019, para. 1). The professions included: general practice, nursing, pharmacy, physiotherapy, and social work. These were purposely selected because of their role in primary care – a sector of growing international significance that requires integrated care delivered by an interprofessional team. The professional bodies spanned: Australia, Canada, New Zealand, the United Kingdom, and the United States. Although these nations have disparate health and social care systems, they were selected because of their shared emphasis on integrated primary care. Given the multiple webpages within the websites of these professional bodies, a strategic approach was pursued to achieve the study aim. Specifically, the content of the following sections was analysed, given they were common to most websites: 'About Us', 'Strategic Plan', 'Benefits of Membership' and/or 'Annual Reports'. Additionally, when available within a website, its search function was used to source references to interprofessional care and other professions and/or professionals. Website content was then extracted into Word and Excel files for analysis, which was

guided by the following lines of inquiry: what is the overarching aim of the organisation; what does it do and how does it do it; who are its members; does it recognise members as part of a team; how are other professions mentioned; and how is interprofessional care characterised?

INSERT TABLE 1

RESULTS

General Practice

The aim of these five professional bodies was to 'improve' (AUS) if not 'transform' (US) healthcare, and ultimately the health of its constituents. They espoused the value of primary care, which was often expressed with references to quality, equitable, community-based care. For instance, the Royal College of General Practitioners strived to 'lead… high quality general practice both as a key element in the future pattern of healthcare, as an invigorating environment in which to practise and as a cornerstone of great patient care' (UK). Similarly, the Royal New Zealand College of General Practitioners endeavoured to 'demonstrate the enduring value offered by general practice and general practitioners in a rapidly changing environment by leading and supporting members and general practice to ensure high-quality, equitable care is offered to all patients' (NZ).

Towards this shared aim, the five professional bodies largely undertook three activities. They undertook and/or commissioned research, and/or developed standards and guidelines to clarify the changing scope of general practice and the conditions that enable quality care; they advocated on behalf of members to champion general practice through, for instance, position statements and/or submissions to government; and they educated and trained (prospective) members via professional development opportunities and/or the accreditation of tertiary education.

Given their aim and the objectives, membership was largely open to registered medical practitioners – nationally or internationally – as well as registrars, residents, or students aspiring to be. Although the College of Family Physicians Canada noted that 'licensed physicians' were also required to have a 'good standing', how this was defined was not readily apparent.

Within key organisational artefacts, like summaries 'About Us' and their strategic plans, some professional bodies explicitly recognised general practitioners as part of an interprofessional team, while others did not. Consider for instance, the Royal Australian College of General Practitioners whose strategic plan was largely silent on interprofessional care and potential euphemisms, like teamwork. Although it endorsed the importance of 'Collegiality', this pertained to intra-, rather than interprofessional relationships. Conversely, the College of Family Physicians Canada was more forthright in its interprofessional interests. Given that general practice is delivered in myriad contexts – 'in the office, the hospital… other health care facilities, or the home' (CAN), this professional body recognised general practitioners as part of an interprofessional team. Although general practitioners had particular skills and competencies, these were complemented by other specialities.

This is not to suggest the five professional bodies, did not recognise or make inferences about interprofessional care – but rather, these references (and inferences) were typically embedded within organisational artefacts, like documents on standards, position statements, or news items. For instance, the Royal College of General Practitioners offered a course on 'Management of Obesity in General Practice' (UK), noting that 'the whole primary care team plays a vital part in the improvement in these patients' quality of life'. Similarly, in a position statement on 'General practice-based pharmacists' (AUS), the Royal Australian College of General Practitioners indicated

that it 'values team-based models of care in which a range of healthcare professionals can contribute towards patient health outcomes, maximising use of their skills within their scope of practice'.

The College of Family Physicians Canada held clear positions on the importance of interprofessional care. In its 'Vision Statement on Inter-Professional Care' (CAN), the College drew attention to the important role of nurses, 'pharmacists, physiotherapists, occupational therapists, dietitians, [and] social workers'. Similarly, other bodies referred to different interprofessional colleagues. Primary attention was directed to nurses and to a lesser extent, pharmacists, with even fewer references to physiotherapists and social workers – largely by the College of Family Physicians Canada and the American Association of Family Physicians. For instance, in a position statement on 'Breastfeeding', the latter noted that 'Providing comprehensive perinatal services to a diverse population requires a cooperative relationship among a variety of health professionals, including social workers, health educators, nurses and physicians' (US).

Although all five professional bodies recognised the place of pharmacists in primary care, they did so in disparate ways. For instance, the Royal College of General Practitioners praised 'Initiatives such as the practice-based pharmacists scheme' because of their 'real benefits' (UK). Furthermore, it called for 'wider practice team[s]', which extended to 'pharmacists, extended nurse practitioners & paramedics'. Conversely, the Royal New Zealand College of General Practitioners demonstrated caution. For instance, in its 'POLICY BRIEF' (NZ) on 'Problematic polypharmacy and deprescribing', although the potential value of 'Collaborative prescriber-pharmacist medicine reviews' was noted, evidence for 'pharmacist-led interventions… in primary care' was said to be 'mixed'.

Collectively, these five professional bodies recognise the potential value of interprofessional care. However, some were particularly explicit about the parameters of interprofessional care, ensuring the role of general practitioners was protected.

Nursing

Although the websites of all five professional bodies were examined, that of the Nurses Society of New Zealand was temporary at time of study, offering limited information (see Figure 1). As such, the representation of this professional body within this section is negligible, relative to its counterparts.

INSERT FIGURE 1

Across the five nations, the professional bodies claimed to offer nursing 'a strong collective voice' (AUS) – that is, 'representation' (NZ). Using varied euphemisms, they aimed to 'advance nursing and [relatedly] health' (CAN).

Despite their disparate geographical locations, the five professional bodies collectively represented their constituents via three avenues. They established practice standards, including employment conditions to protect nurse interests; they offered and/or facilitated access to professional development to uphold nursing standards and advance nursing leadership; and they raised the profile of the profession by examining, understanding, and responding to societal changes by, for instance, conferring with government, producing reports, and/or orchestrating campaigns, accordingly (among other efforts).

The efforts of some professional bodies were laudable. Consider the Australian College of Nursing, which – in 2017 to 2018 – submitted '81 POLICY CONSULTATIONS TO GOVERNMENT' and received '84 INVITATIONS TO PRESENT [Australian College of Nursing] ON PROFESSIONAL AND GOVERNMENT

BODIES' (AUS). It also spoke of 'empower[ing] our tribe', with imagery that denoted protection in solidarity (see Figure 2).

INSERT FIGURE 2

Similarly, the Canadian Nurses Association consulted members to (re)develop its 'Primary Care Toolkit' (CAN) and its position statements on matters like 'health human resource planning' – both of which are germane to interprofessional care. For instance, the latter recognised that 'successful human resources planning… requires a collaborative, collective and integrated effort among… health professionals'. The American Nurses Association had an expressed interest in 'transforming' (US) patient perceptions. With references to what might be termed, corporate-speak (Czerniawska, 1997), it vied to intentionally raise the profile of nursing among (prospective) patients by, '**dramatically increase[ing]… nurse-to-consumer positioning and awareness** (US, original emphasis).

Given their aim and objectives, membership across the five professional bodies was largely open to nurses registered by the national regulatory body – these included enrolled nurses and students aspiring to be registered as either. There was limited, if any reference to the prospect of membership among nurses who were registered abroad. However, the Royal College of Nursing was also open to health care assistants for who there are 'no set entry requirements' (NHS, nd, para,. 8).

Notwithstanding the Nurses Society of New Zealand, the professional bodies all recognised the place of interprofessional care. Nursing was largely described as requiring teamwork and as such, nurses were required to know how to communicate, collaborate, and complement. Although most references to interprofessional care were embedded within organisational artefacts like position statements, white papers, and other communiqués, some professional bodies – like the Royal College of Nursing and the American Nurses Association – positioned their collaborative stance within their strategic plans.

For the most part, the professional bodies recognised interprofessional care to involve an array of professions. In addition to general practice, these included: 'allied health professionals' (AUS) – notably, 'physical therapists, occupational therapists, speech therapists, dieticians… social workers, psychologists' (US) – as well as 'pharmacists' (AUS).

Collectively, these five professional bodies recognise the potential value of interprofessional care. However, some were particularly explicit about the parameters of interprofessional care, ensuring the role of nurses was protected and their remit, secured

Pharmacy

The professional bodies for pharmacists largely emphasised: community health, using pharmacy as a vehicle towards this; and/or the role of this profession in health improvement. For example, the Australian Pharmaceutical Society aimed to 'improv[e]… health through excellence in pharmacy care' (AUS), while the Canadian Pharmacists Association looked to 'advance health and wellbeing of Canadians through excellence in pharmacy care' (CAN). Conversely, the Pharmaceutical Society of New Zealand aimed to support pharmacist delivery of best practice. The American Pharmacists Association demonstrated an external facing role, stressing the importance of being the 'voice of Pharmacy' (US), while the Royal Pharmaceutical Society aimed to ensure it was at the 'forefront of healthcare' (UK). Only the Royal Pharmaceutical Society identified international ambitions, claiming a desire to become 'a world leader in safe and effective use of medicine'. Like its Canadian counterpart, the Australian Pharmaceutical Society aimed to help pharmacists to realise their full potential.

All of these professional bodies advocated for members, offering professional development opportunities. The Royal Pharmaceutical Society claimed to promote the profession to the media and government. The Pharmaceutical Society of New Zealand specifically noted its offerings of professional development on leadership. Only the Canadian Pharmacists Association emphasised health promotion and disease prevention. Several bodies promoted professional practice standards and guidelines, with the American Pharmacists Association 'disseminating timely relevant information' (US) and also generating 'state of the art' tools and resources. This body also emphasised its role in networking. Only the Australian Pharmaceutical Society drew attention to the impact a strong membership has on 'enhancing the society's influence' (AUS).

Members of each professional body included pharmacists – be they students, those who were qualified, or those who had retired. Additionally, the American Pharmacists Association offered a 'Corporate Supporter Program' (US) to promote discussion between companies and leaders in the American Pharmacists Association.

Only the Canadian Pharmacists Association and the American Pharmacists Association mentioned working with others. The former cited 'collaboration with member organisations' and 'other health providers and stakeholders' (CAN). The latter described members as 'medication experts in team based patient centred care' (US).

Across the five professional bodies, counterpart professions were not specifically mentioned. According to the Canadian Pharmacists Association, teamwork was aimed at patients and business partners with a range of pharmaceutical companies noted as 'organisational affiliates' (CAN). Similarly, the Pharmaceutical Society of New Zealand did not name specific professions – however, integration was identified as one of four pillars of strength. This body then noted others in two of its six key objectives – namely, 'technicians, interns and other health professionals' (NZ).

Physiotherapy

Several of the professional bodies for physiotherapists focussed on the service user, with the Chartered Society of Physiotherapy aiming to 'transform the health and wellbeing of individuals and communities by empowering members' (UK). The American Physical Therapy Association went further, seeking to 'transform society by optimizing movement to improve the human experience' (US). The Australian Physiotherapy Association also focussed on consumers – however, it offered a different perspective by focusing on ensuring the community 'recognise the benefits of choosing Physiotherapy' (AUS). Others concentrated on physiotherapists – rather than the community – with the Canadian Physiotherapy Association striving to offer 'exceptional service, valuable information and connections' (CAN). However, this body was alone in suggesting it aimed for international influence.

All of the professional bodies offered education to members, with the Australian Physiotherapy Association also striving to 'educate and motivate the consumer' (AUS). Advocacy was also important among the professional bodies, with the American Physical Therapy Association, the Chartered Society of Physiotherapy, and the Canadian Physiotherapy Association wanting to ensure access to physiotherapy. The first of these three bodies sought to 'collaborate with government to improve access' (US), while the last claimed to 'ensure equitable access' (CAN). Across the five professional bodies, championing physiotherapy featured prominently, with the Australian Physiotherapy Association 'looking to champion new models of care' (AUS). Similarly, the Canadian Physiotherapy Association 'champion[ed] excellence, innovation' (CAN). The American Physical Therapy Association stood out with its strong collaboration with a range of stakeholders, including

patients and practitioners. Through collaboration, they had grand ambitions to 'solve the health related challenges that society faces' (US).

Membership of the professional bodies was largely open to qualified and impending physiotherapists. In some instances, membership extended to associate or assistant physiotherapy staff members.

As noted, the American Physical Therapy Association emphasised collaboration, stating that it 'foster[ed] interprofessional approaches to meet consumer needs and instil team values' (US) among its members. The Australian Physiotherapy Association also stressed teamwork; yet this was more confined to primary care – for example, in musculoskeletal services.

Physiotherapy New Zealand cited other professions in relation to teamwork. For example, the roles of speech therapists and occupational therapists were noted in the context of rehabilitation, while that of dieticians and social workers were noted in the context of managing chronic obstructive pulmonary disease. The Chartered Society of Physiotherapy also referred to a range of professions, though usually in its professional magazine. For example, occupational therapists and nurses were recognised as part of multidisciplinary teams in the contexts of community rehabilitation, trauma, primary care, and stroke rehabilitation.

Social Work

Although all five professional bodies for social workers supported their members, each did so differently. Despite their collective interest in social justice, the Aotearoa New Zealand Association of Social Workers stressed the need to enhance social work for the benefit of 'individuals, family, and communities' (NZ). Among the aims of the National Association of Social Workers was an emphasis on enriching members' professional growth and development to maintain professional standards and advance social policies (US). The British Association of Social Workers stood out, noting they were the 'independent voice of social work' (UK).

Most of these professional bodies promoted the profession and social justice. Specifically, they campaigned and lobbied, with the British Association of Social Workers encouraging members to also do so. The Australian Association of Social Workers and the British Association of Social Workers stressed collaboration with international colleagues, while the Canadian Association of Social Work noted its role in assessing international social workers. Several bodies – like the Aotearoa New Zealand Association of Social Workers and the Canadian Association of Social Work – offered its members professional indemnity. The National Association of Social Workers emphasised how its advocacy efforts benefit all social workers – yet these efforts were solely funded by members. Several professional bodies highlighted the professional development opportunities they provided – in the case of the Aotearoa New Zealand Association of Social Workers, this included networking. The Canadian Association of Social Workers also monitored the media. Both the Australian Association of Social Workers and the Aotearoa New Zealand Association of Social Workers explicitly recognised Indigenous communities, with the values of the latter firmly centred on 'bi-culturalism' (NZ).

Across all five bodies, membership was limited to qualified social workers and those in training. This included internationally-qualified social workers whose qualification was locally-recognised.

The public faces of these professional bodies did not explicitly speak of social workers as part of a multidisciplinary team. However, these could be sourced via additional resources. For instance, the Canadian Association of Social Workers recognised multidisciplinary teams in the context of

managing HIV and AIDS. Similarly, the British Association of Social Workers offered a hyperlink to access information about the Social Care Institute for Excellence, which recognised social workers as part of multidisciplinary teams.

Each professional body focussed on social workers, occasionally mentioning other professions. In contrast, the Canadian Association of Social Workers recognised others' roles, including practitioners who 'generat[ed]… referrals' (CAN). These included 'spiritual leaders, family physicians, nurse practitioners, psychiatrists, social and human services providers, guidance counsellors, community centers, lawyers, child care providers'.

DISCUSSION

Integration within the health sector represents a key policy driver and interprofessional care is an important component of this, representing international best practice (Best & Williams, 2019; Goodwin, 2015; Reeves, et al., 2010). Yet such care can be: elusive; difficult to manage; and challenging to deliver (Dickinson, 2014). This is partly due to: varied disciplinary cultures among different practitioners who are expected to collaborate; and their disparate perceptions of their, and each other's roles (Hall, 2009). These (and other) factors can contribute to 'uni-professional silos' (Mitchell, Parker, Giles, & White, 2010). Given their roles, professional bodies might influence the culture of the profession they represent and promote interprofessional care. Yet there is a dearth of scholarship on the role of professional bodies in interprofessional care – this study addresses this void.

The 25 professional bodies, spanning five professions and five nations, demonstrated considerable variation in how they characterised interprofessional care, with nuances between the professions and nations. For instance, those that represented general practice cautiously protected its professional boundaries from perceived competition, like pharmacy. Although they spoke of interprofessional care and recognised its importance, some – like the Royal New Zealand College of General Practitioners – were protective. Others however, were less so – consider for instance, the College of Family Physicians Canada, which was supportive of counterpart professions.

Although nurses' professional bodies advanced their profession, they collectively recognised interprofessional care, all while protecting their remit. This might partly reflect growing interest in the role of nurse practitioners and other nursing specialties (Van Soeren, Hurlock-Chorostecki, & Reeves, 2011). With the exception of the Canadian Pharmacists Association and the American Pharmacists Association, pharmacists' professional bodies paid little explicit heed to counterpart professions. Although physiotherapists' professional bodies also advocated for their profession, they also advocated for consumers, reflecting extant research (Reeves, Freeth, McCrorie, & Perry, 2002). Furthermore, they espoused the importance of teamwork – however, this was largely limited to other rehabilitative professions, like occupational therapy, speech therapy, and nursing. As others have suggested (Barr, Freeth, Hammick, Koppel, & Reeves, 2006), social workers' professional bodies traversed the divide between health and social care as they espoused their profession and social justice for clients. However, notwithstanding the Canadian Association of Social Work, they did not explicitly speak of social workers as part of a multidisciplinary team, and only occasionally mentioned other professions. This is curious, given expressed interest in social justice and equity.

Despite the value of the aforesaid findings, two methodological limitations warrant mention. First, their currency is likely to be limited, given the cross-sectional study design, in which a snapshot of discourse on interprofessional care was captured at one time-point. Second, given limited familiarity with the websites that were analysed, it is possible that pertinent content was inadvertently

overlooked. Although key sections were purposely reviewed – including the précis of each professional body and their strategic plans – and although the search function of each website was used, when available, to source references to interprofessional care and/or other professions, it is possible that content on interprofessional care was unheeded. Nevertheless, it would appear such content was not salient, given the approaches used to comprehensively source relevant content.

Notwithstanding these limitations, the findings from this study have implications for professional bodies and scholars. For professional bodies, the findings suggest there is considerable opportunity to explicitly promote interprofessional care. Although the dominance of medicine is well-established (Bleakley, 2013; Wranik & Haydt, 2018), each profession has a role in redressing power differentials. This is not to suggest they dilute or relinquish their expertise – but rather, they have shared aims and shared objectives to achieve these. This will require role clarity, trust, confidence, a capacity to overcome differences and adversity, as well as collective leadership (Bosch & Mansell, 2015), all of which might be cited within strategic plans and reinforced by incentivising interprofessional development opportunities. For scholars, the findings forge a path for future research. This might include an examination of how professional bodies engage and interact with different stakeholders – within and beyond their profession – to promote interprofessional care, as well as the associated effects. Further to this are opportunities to include: additional professions – like dietetics, occupational therapy, and psychology; additional nations – notably, those with different health systems; as well as additional professional bodies that represent the same professions within the same nation.

Given the importance of interprofessional care, this study is both timely and important. Yet, it also reveals how professional bodies and scholars can further the cause.

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TABLES AND FIGURES

Table 1: Professional Bodies

	Australia	Canada	New Zealand	United Kingdom	United States
General Practice	Royal Australian College of General Practitioners	College of Family Physicians Canada	Royal New Zealand College of General Practitioners	Royal College of General Practitioners	American Association of Family Physicians
Nurse	Australian College of Nursing	Canadian Nurses Association	Nurses Society of New Zealand	Royal College of Nursing	American Nurses Association
Pharmacy	Australian Pharmaceutical Society	Canadian Pharmacists Association	Pharmaceutical Society of New Zealand	Royal Pharmaceutical Society	American Pharmacists Association
Physiotherapy	Australian Physiotherapy Association	Canadian Physiotherapy Association	Physiotherapy New Zealand	Chartered Society of Physiotherapy	American Physical Therapy Association
Social Work	Australian Association of Social Workers	Canadian Association of Social Work	Aotearoa New Zealand Association of Social Workers	British Association of Social Workers	National Association of Social Workers

Figure 1: Nurses Society of New Zealand Website

Figure 2: Images from the Australian College of Nursing Website

Stream 13. Sustainability and Social Issues in Management

Refereed Delivered Session

A Framework to Evaluate the Impact of Green Lean Six Sigma in Reducing Environmental Effects of Manufacturing Systems

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ABSTRACT: *Manufacturing organizations are facing environmental challenges in the form of greenhouse gas emissions, energy consumption, waste water, and solid waste generation. Research gaps in the use of three manufacturing systems – green, lean, and six sigma – have been identified by literature review as strategies for overcoming environmental challenges and available models have been assessed. Although green and lean strategies have synergies in reducing wastes, a few studies have suggested to incorporate six sigma for achieving environmental objectives. The purpose of this research is to evaluate the impact of these three manufacturing systems on environmental performance. This research also develops a holistic model which combines the concepts of green, lean, and six sigma to address the environmental aspects.*

Keywords: (Green manufacturing, lean manufacturing, six sigma, environmental performance, drivers, enablers)

Stream 13. Sustainability and Social Issues in Management

Refereed Delivered Session

Mankind is facing a critical environmental problem which is climate change and global warming, and human activities are the primary source of these effects. Industrial operations result in the form of environmental degradation in order to fulfil the human advancement and growth (Dhingra, Kress, & Upreti, 2014). Different industries like manufacturing, service, healthcare, and education are facing various environmental issues along with other operational and process wastes. Environmental issues are highlighted as generation of hazardous air pollutants (HAPs) such as carbon dioxide (CO_2), volatile organic compounds (VOCs), and other organic and inorganic wastes (Fercoq, Lamouri, & Carbone, 2016). On the other hand, the most common operational wastes as defined by the lean philosophy are inventory, over-production, over-processing, excessive motion, transportation, waiting time, defects, and underutilized human resources. Moreover, environmental waste is also regarded as another lean waste (Albliwi, Antony, & Lim, 2015). There is a need to manage the resources in a way so that the reduction in quantity and toxicity of wastes and materials, conservation, and their recovery could be achieved. To address this issue, the concept of green, lean, and six sigma is proposed for overall quality improvement of an organization (Garza-Reyes, 2015). In this concept, green focuses on the environmental performance by using different environmental practices whereas lean targets the removal of wastes with the help of various tools and techniques. Along with lean and green as approaches towards reduction of wastages and environmental impacts in organizations, six sigma also minimizes the defects and monitors processes through a structured and systematic approach (Kumar, Luthra, Govindan, Kumar, & Haleem, 2016). However, lean and green paradigms have some deficiencies, individually and even in combination with one another. Whereas six sigma assists these strategies to resolve their limitations such as lack of structured decision making, lack of analytical and statistical tools, lack of variation control, and lack of ability to remove the source of problem (Garza-Reyes, 2015)

With an increase in population, environmental issues in the form of global warming and climate change are significant challenges for developing countries. Manufacturing organizations in

developing countries are also adopting strategies to handle environmental issues, resource conservation, value addition, and improvement of their processes. In addition, the culture of a country has a major influence on the impact of its manufacturing practices (Mangla et al., 2018).

Both, discrete and process industries in the manufacturing sector use large amount of energy and resources. However, process industries consume significant amount of energy and emit large quantities of carbon dioxide (Duflou et al., 2012). For example, leather industry releases huge amounts of VOCs, toxic chemicals, waste water, and solid wastes (Dixit, Yadav, Dwivedi, & Das, 2015). Furthermore, this industry has to work with harmful, combustible, and hazardous materials and has negative environmental effects such as greenhouse gases and CO_2 emissions (Liew, Adhitya, & Srinivasan, 2014).

The aim of this study is to analyze the role of green, lean, and six sigma in overcoming environmental impacts of manufacturing organizations. In particular, the research question addressed in this study is what are the drivers, enablers, and outcomes of green, lean, and six sigma approaches in manufacturing firms for achieving environmental performance? The paper maps linkage between the drivers for green, lean, and six sigma strategies with their enablers in terms of the tools and techniques, which are the building blocks, leading to the outcomes of these strategies. This is achieved by developing a conceptual model for a green, lean, and six sigma approaches towards gaining environmental performance, through a rigorous literature review process. This model will assist future research in evaluating the drivers, enablers, and outcomes of green, lean, and six sigma approaches in manufacturing firms empirically as well as explore the possibility of combining lean and six sigma approaches with the green strategy in order to overcome environmental effects in manufacturing firms.

The structure of this paper is as follows. This section has explained the research objectives and the focus of this study. The next section reviews literature to discuss green manufacturing, lean

manufacturing, and six sigma approaches. It also discusses existing models of green, lean, and six sigma strategies to identify gaps and deficiencies in their structure. Based on this review, the next section develops a holistic conceptual model for the green, lean, and six sigma strategies for realizing environmental benefits based on the research intent of this study. Finally, the future plans and contribution of this study are presented.

LITERATURE REVIEW

Green Manufacturing

Green manufacturing has been characterized in several ways such as it is clean manufacturing, environmentally conscious manufacturing, and environmentally responsible manufacturing. Whereas, environmental safety and betterment is the essence of all green concepts (Sangwan & Mittal, 2015). Green manufacturing is well described as a philosophy to determine, measure, evaluate, and control environmental wastes by addressing the problems associated with products and processes (Garza-Reyes, 2015). Along with lean wastes (Muda), there are other wastes under the category of green wastes which include gases emissions, eutrophication, excessive power consumption, immoderate use of resources, pollution, garbage, unnecessary water utilization, and hygiene and safety issues (Hines, 2009). The objectives of green manufacturing are to conserve resources by efficient and effective utilization of energy, material and water, and minimum usage of toxic chemicals through green practices and techniques (Thanki & Thakkar, 2018).

Lean Manufacturing

Lean manufacturing has been considered as a commonly accepted strategy to handle the issue of waste minimization. It eliminates non-value added activities and improves the organization's operational performance in terms of productivity, adaptability, effectiveness and growth (Thanki, Govindan, & Thakkar, 2016). It can be defined as a set of practices with the aim of continuous improvement by solving process problems and removing wastes (Panwar, Jain, Rathore, Nepal, &

Lyons, 2017). Further, a plethora of studies emphasize the positive effect of lean manufacturing on environmental performance by saving on resources and energy conservation (Chugani, Kumar, Garza-Reyes, Rocha-Lona, & Upadhyay, 2017; Dieste, Panizzolo, Garza-Reyes, & Anosike, 2019). However, research has also revealed that lean cannot fully remove the root causes of operational and environmental wastes as it lacks analytical and scientific approach in monitoring manufacturing processes (Assarlind, Gremyr, & Bäckman, 2013; Devane, 2004; Garza-Reyes, 2015; Lee, Garza-Reyes, Kumar, Rocha-Lona, & Mishra, 2013).

The relationship between lean and green has been determined as they share a common objective of waste reduction (Garza-Reyes, 2015). For instance, excessive transportation of raw materials, work-in-process, and finished products is considered as a waste from the lean and green perspective in terms of resource utilization, energy consumption, and CO_2 emissions (Carvalho, Duarte, & Cruz Machado, 2011). Another example is unnecessary inventory of materials which is one of the lean wastes leading to immoderate use of lighting, cooling and heating (for this inventory), which has an impact in the form of excessive energy consumption (green waste) (Garza-Reyes, Kumar, Chaikittisilp, & Tan, 2018). Therefore, researchers have recommended that lean and green have synergies as lean addresses the minimization of wastes within the processes which also has a positive impact on environmental performance and resource conservation (Ng, Low, & Song, 2015; Sagnak & Kazancoglu, 2016). However, a difficulty associated with both lean and green philosophies is that they are not capable of measuring process variation because of lack of mathematical and statistical tools in performance monitoring which finally affects decision making (Sagnak & Kazancoglu, 2016). Moreover, green and lean paradigms do not follow a structured problem solving approach. Despite the fact that green and lean are closely related, they do not address root causes of a problem which is crucial from a waste minimization perspective (Garza-Reyes, 2015).

Six Sigma

On the other hand, the primary objective of six sigma strategy is to reduce process variation (Andersson, Eriksson, & Torstensson, 2006; Pacheco, Pergher, Vaccaro, Jung, & ten Caten, 2015). It is a methodology in which statistical tools and techniques are used to improve business processes using the "DMAIC" methodology – a data driven quality strategy, which stands for define, measure, analyze, improve, and control (Hilton & Sohal, 2012). Moreover, the six sigma approach has an ability to achieve environmental objectives by following its practices (Chugani et al., 2017). However, there is a need to develop a model that includes six sigma with other environmental management techniques as most organizations do not consider environmental issues when applying six sigma methodology (Antony et al., 2019; Sony, Antony, Park, & Mutingi, 2019). Additionally, there is a lack of research combining green, lean, and six sigma as a unique and single approach towards environmental improvement. Therefore, Garza-Reyes (2015) has suggested incorporating six sigma methodology with lean and green strategies. These three approaches are adaptable, interrelated, share commonalities and fill the gaps of each other (Banawi & Bilec, 2014). Additionally, the basis of all three concepts are same in nature that is resource conservation and waste management (Kumar et al., 2016; Mishra, 2018).

Existing Models of Green, Lean, and Six Sigma

The concepts associated with the green, lean, and six sigma methodologies towards environmental issues include the relation between lean and green (LG) (Farias, Santos, Gohr, Oliveira, & Amorim, 2019), lean and six sigma (LSS) (de Freitas, Costa, & Ferraz, 2017), and green, lean, and six sigma (GLSS) (Garza-Reyes, 2015). Different frameworks have been developed regarding the above concepts to address environmental aspects (Cherrafi, Elfezazi, Chiarini, Mokhlis, & Benhida, 2016a; Farias et al., 2019; Verrier, Rose, & Caillaud, 2016). Further, the positive effects of individual green (Al-Sheyadi, Muyldermans, & Kauppi, 2019), lean (Chiarini, 2014), and six sigma

methodologies (Sagnak & Kazancoglu, 2016) on environmental performance are depicted in literature. Research studies have also addressed the economic and social aspects along with environmental concerns (Cherrafi et al., 2016a). Since this study aims to address the environmental concerns of manufacturing organizations, the social and economic aspects are not in the domain of the research.

Research studies indicated the use of lean and green (LG) practices in a combined manner towards environmental improvement (Farias et al., 2019; Fercoq et al., 2016; Thanki et al., 2016). One limitation of these studies is that six sigma practices were not addressed. Further, a research study has proposed a model combining green and lean practices, however this model has analyzed the impact of green practices on environmental performance and the effect of lean practices on operational performance (Thanki et al., 2016).

A research study has proposed a four-step methodology to implement lean and green approaches in production of metal stamped parts (Ng et al., 2015). Step 1 is the current state assessment using lean tools called overall equipment effectiveness (OEE) and value stream mapping (VSM) for calculating carbon footprints. In this state, carbon value efficiency (CVE) is measured. Step 2 is future state analysis, which includes CVE-VSM based on lean tools and principles. After observing the improvement areas using CVE-VSM, three kaizen events are proposed in step 3, which are: reducing setup time of the stamping process, changing the spraying nozzle to resolve the over-coating issues, and implementing a rabbit-chasing cell for a smooth process flow. By applying these changes, an improvement in the reduction of lead time, value added time, and carbon emissions is suggested. In step 4, the action plans are developed to list the goals, timelines, and people responsible with their duties.

Verrier et al., (2016) have proposed a lean and green house model in which the authors have focused on the reduction of lean and green wastes through lean tools namely gemba walk, 5S,

standardized work, green VSM, key performance indicators, and visual management. Continuous improvement, top-down and bottom-up management are the basis of this model whereas employee respect and human resource safety are considered as important factors. They presented a lean and green maturity model for analysis and improvement of organizational projects based on five stages: initial, managed, defined, quantitatively managed, and optimizing. A limitation observed in this study is the minimum use of green tools (e.g.; reduce and reuse). Further, six sigma was not addressed in this model.

Another research study has presented a lean-green model based on five steps for improving environmental performance. The five steps are: (1) stabilize the value stream, (2) identify environmental aspects and impacts, (3) measure environmental value stream, (4) improve environmental value stream, and (5) continuous improvement. The lean and green enablers addressed in this study are kaizen, cellular manufacturing, and ISO 14001 (Pampanelli, Found, & Bernardes, 2014).

The common aspects between lean and six sigma strategies are: continuous improvement, waste reduction and customer satisfaction (Maleyeff, Arnheiter, & Venkateswaran, 2012). Therefore, lean and six sigma are also interrelated. A research study proposed a model indicating lean and six sigma (LSS) for environmental sustainability, which included driving forces, benefits, barriers, tools and critical success factors based on a literature review. However, the model incorporated only lean and six sigma practices and lacked in use of green manufacturing enablers (Cherrafi et al., 2016a).

The effects of lean-six sigma tools on environmental performance have been discussed in another research study (Cherrafi et al., 2016b). The study was performed in Morocco based on a research project in four companies: agri-food, textile, tannery, and hotel. The authors highlighted the use of LSS tools in a comprehensive manner to address environmental issues. However, they did

not use green tools and utilized limited statistical tools to assess environmental performance. Further, the authors suggested that the proposed framework may not be appropriate for complex processes such as painting, chemical treatment, and metal finishing.

A research study proposed a model for process industry (dairy) which highlighted the use of lean and six sigma tools for environmental sustainability. The lean and six sigma enablers for this study are VSM, pareto analysis, cause-effect analysis, SPC, and DMAIC (Powell, Lundeby, Chabada, & Dreyer, 2017).

Garza-Reyes (2015) has presented a model combining green, lean, and six sigma concepts based on a systematic literature review. The limitations of green and lean have been addressed, and the role of six sigma in overcoming those gaps has been described to get the operational and environmental benefits. However, this research has not addressed the practical application of the framework in manufacturing industry and the author has emphasized validation of this model.

Banawi and Bilec (2014) have developed a framework which combines the concepts of green, lean, and six sigma. This study indicates the use of VSM, DMAIC, life cycle analysis (LCA), and two six sigma tools (cause-effect diagram and pareto chart) in 3 steps which are: (1) define and measure, (2) analyze and improve, and (3) control to address the environmental issues. This model was applied in a pile cap installation process, however the framework was only developed for construction industry which requires further validation. A few green, lean, and six sigma tools were addressed in this study.

Another research study proposed a model comprising green, lean, and six sigma tools based on literature review (Ruben, Vinodh, & Asokan, 2017). This study described the critical success and failure factors of lean six sigma (LSS). A limitation of their proposed framework was the lack of practical application in manufacturing industry. Further, the environmental indicators have not been clearly described and the limited use of lean practices calls for further investigation. An overview of

the evaluation of above research studies and frameworks regarding lean and green (LG), lean and six sigma (LSS), and green, lean, and six sigma (GLSS) methodologies for environmental performance is presented in Table 1.

Insert Table 1 about here

Different studies have analyzed the environmental impacts of individual practices. A plethora of literature indicated the impact of green practices such as ISO 14001, 3R (reducing, reusing, and recycling), LCA, design for environment (DFE), and ISO 50001 on environmental performance (Agan, Acar, & Borodin, 2013; Al-Sheyadi et al., 2019; Canellada, Laca, Laca, & Diaz, 2018; de Sousa Jabbour et al., 2016; Dhingra et al., 2014; Guo et al., 2019; Nguyen & Hens, 2015).

Similarly, the effect of lean practices on environmental performance has been observed by various researchers. For example, a study in tyre manufacturing industry, India, assessed the impact of lean principles on VOCs, HAPs and scraps. However, this study only indicated the effect of muda (lean wastes) from environmental perspective (Gupta, Narayanamurthy, & Acharya, 2018). While some other studies have analyzed the impact of various lean tools (VSM, 5S, total productive maintenance (TPM), just-in-time (JIT), cellular manufacturing, single minute exchange of die (SMED), kaizen, etc.) on environmental performance (Chiarini, 2014; Chugani et al., 2017; Dieste et al., 2019; Garza-Reyes et al., 2018).

Literature also reveals the positive impact of six sigma practices on environmental performance such as through use of design of experiment (DOE), gage repeatability and reproducibility (gage R&R), control charts, pareto diagram, histogram, DMAIC methodology, failure mode effect analysis (FMEA), and supplier-input-process-output-control (SIPOC) diagram (Kaushik, Khanduja, Mittal, & Jaglan, 2012; Lee, Yuvamitra, Guiberteau, & Kozman, 2014; Rimantho & Hanantya, 2017; Sagnak & Kazancoglu, 2016; Shih & Wang, 2016; Sony, 2019).

The following gaps are identified based on the evaluation of above frameworks:

1) Most of the frameworks that focus on lean and six sigma strategies towards environmental performance, lack green practices.

2) A few models illustrate the effect of green and lean enablers on overall environmental performance but do not highlight the impact of each tool on specific environmental factors.

3) Although there are various green, lean, and six sigma tools that have an impact on environmental effects, limited number of practices have been discussed.

4) Although six sigma is a vital strategy for controlling process variation, factual decision making and used as a structured approach towards environmental performance; its use is observed to be minimal in the frameworks.

5) There is a lack of research showing a holistic view of green, lean, and six sigma practices, which is necessary to understand before implementing these strategies. Few researchers have discussed use of green, lean, and six sigma approaches for environmental performance, however these have not been modeled as a combined concept.

It can be inferred from the above limitations and gaps that a framework combining lean, green, and six sigma philosophies and practices towards managing environmental performance is lacking. Since the drivers of an approach play a major role for continuous improvement in an organization, their identification, management, and control is necessary for the success of such an initiative.

CONCEPTUAL MODEL OF GREEN, LEAN, AND SIX SIGMA

A conceptual model of green, lean, and six sigma approach is proposed in Figure 1. This model has been designed after an extensive literature review and evaluation of existing models. The model consists of three critical stages which lead one to the other. The first stage are the drivers which

enforce an organization to pursue manufacturing strategies that address environmental performance. The next stage is about the enablers which include the tools and techniques that achieve environmental improvements through a combined structure of green, lean, and six sigma practices. The last stage highlights the outcomes which depend on the effective implementation of these practices. The model in Figure 1 represents a holistic approach towards environmental improvement by combining the three manufacturing paradigms – green, lean, and six sigma.

Insert Figure 1 about here

In Figure 1, the environmental indicators are categorized as energy consumption, solid waste, water consumption, air emissions, and toxic waste and effluents which are extracted from literature (Garza-Reyes et al., 2018; Thanki et al., 2016). Further, these indicators are classified using "X" where X1: energy consumption, X2: solid waste, X3: water consumption, X4: air emissions, and X5: toxic waste and effluents. After an extensive literature review, five key green practices, five key lean practices, and six key six sigma practices are identified as enablers of environmental performance (de Sousa Jabbour et al., 2016; Farias et al., 2019; Garza-Reyes et al., 2018; Thanki et al., 2016). The green enablers are highlighted as "G" where G1: ISO 14001, G2: 3R, G3: LCA, G4: DFE, and G5: ISO 50001. Whereas lean enablers are indicated by "L" where L1: JIT, L2: Kaizen, L3:5S, L4: TPM, and L5: VSM. Moreover, six sigma practices related to environmental performance are highlighted by "S" where S1: cause-effect diagram, S2: gage R& R, S3: pareto diagram, S4: DOE, S5: control charts, and S6: DMAIC. This part of the model illustrates the environmental impacts of green, lean, and six sigma practices. It is interesting to note that almost all practices have positive influence on all environmental performance indicators. For instance, VSM, ISO 14001, and control charts helps in identifying, measuring and controlling energy usage, solid waste, water utilization, emissions and toxic wastes.

FUTURE PLANS AND EXPECTED CONTRIBUTION OF THIS STUDY

In future, an empirical research will be conducted to evaluate the impact of green, lean, and six strategies on environmental performance in manufacturing firms. Case studies will be performed in the process industry, specifically in the packaging sector (where environmental impacts are high), to analyze the driving forces, enablers, and outcomes of the proposed model.

This study will address the gaps identified through the application of green, lean, and six sigma approaches in manufacturing organizations (process industry). The environmental wastes will be identified, analyzed, and performance measurement techniques will be evaluated. The exploration of drivers and enablers will provide more insights into the impact of these strategies on environmental performance. A green, lean, and six sigma model will be developed which could be used for future research. This model will be a first attempt that indicates the impact of key green, lean, and six sigma practices on different environmental indicators in a holistic manner. The merger of these strategies will be beneficial for organizations to reduce their environmental footprints. The results of this research can be utilized for future studies in different countries. Additionally, both manufacturing and service organizations can improve their decision making towards implementation of these strategies for environmental improvement. Overall, this study will be helpful for both academia and practitioners in understanding the holistic impact of green, lean, and six sigma methodologies on environmental performance.

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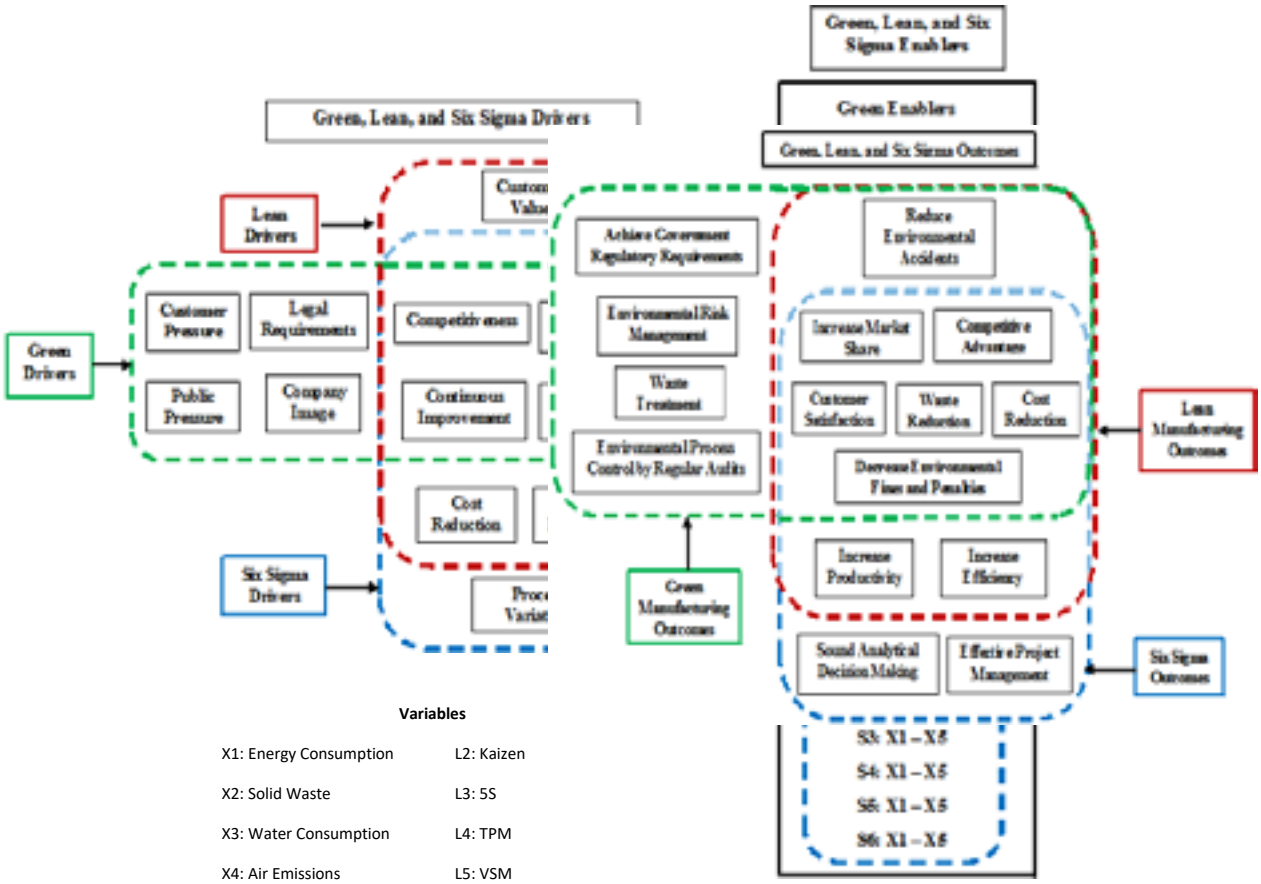
Table 1: Evaluation of Lean and Green (LG), Lean and Six Sigma (LSS), and Green, Lean, and Six Sigma (GLSS) Frameworks for Environmental Performance

Sr.No.	Authors	Year	Method	Verification of the Framework	Industry	Enablers Addressed			Environmental Effect of Enablers		
						Lean	Green	Six Sigma	Lean	Green	Six Sigma
1	Farias et al.	2019	Literature Review	No	All manufacturing industries	VSM, kaizen, 5S, standardized work, JIT, cellular manufacturing, TPM	ISO 14001, LCA, 3R, DFE, environmental emission control (EEC)		Yes	Yes	No
2	Thanki et al.	2016	Modelling and Simulation	Yes	All manufacturing industries	TPM, kaizen, 5S, SMED, VSM	ISO 14001, 3R, DFE, EEC		No	Yes	No
3	Feroq et al.	2016	Modelling and Simulation	Yes	All manufacturing industries	Muda	3R		Yes	Yes	No
4	Varrier et al.	2016	Case Study	Yes	Automobile	5s, gemba walk, VSM, visual management, standardized work	3R(only reduce and reuse are addressed not recycle)		Yes	Yes	No
5	Ng et al.	2015	Case Study	Yes	Metal stamped parts	VSM, OEE, kaizen	LCA		Yes	Yes	No
6	Pampanelli et al.	2014	Case Study	Yes	Automotive	Kaizen, cellular manufacturing	ISO 14001		Yes	Yes	No
7	Cherrafi et al.	2016a	Literature Review	No	All manufacturing industries	5S, SMED, kaizen, VSM, kanban, cellular manufacturing,		SPC, pareto chart, cause-effect diagram, 5why's, DMAIC	Yes	No	Yes

						TPM, poke-yoke, visual management, standardized work					
8	Cherrafi et al.	2016b	Case Study	Yes	Agri food, textile, tannery, and hotel	5S, SMED, kaizen, VSM, Kanban, cellular manufacturing, TPM, poke-yoke, visual management, standardized work, FMEA		SPC, pareto chart, cause-effect diagram, 5why's, SIPOC	Yes	No	Yes
9	Powell et al.	2017	Case Study	Yes	Dairy industry	VSM, standardized work		DMAIC, SPC, pareto analysis, cause-effect diagram	Yes	No	Yes
10	Garza-Reyes	2015	Literature Review	No	All manufacturing industries	VSM, 5S, poke-yoke, JIT, kaizen, standardize work		DMAIC, pareto analysis, project selection matrix, quality function deployment, theory of constraints, cause-effect analysis, DOE, scatter diagram, regression analysis SPC, etc.	Yes	No	Yes
11	Banawi and Bilec	2014	Case Study	Yes	Construction industry	VSM	LCA	DMAIC, pareto analysis, cause-effect diagram	Yes	Yes	Yes

12	Ruben et al.	2017	Literature Review	No	All manufacturing industries	VSM	DFE	Pareto chart, cause-effect diagram, 5 why, SIPOC, DOE, cost-benefit analysis	Yes	Yes	Yes

Figure 1: Green, Lean, and Six Sigma Model for Environmental Performance



Suppressor Effect of Social Media Disorder on the Relationship between Social Media Use and Networking Behavior in the Workplace

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Suppressor Effect of Social Media Disorder on the Relationship between Social Media Use and Networking Behavior in the Workplace

The huge expansion in the use of social networks led us to think about how companies should manipulate the use of these media for their own benefit. This article first aims to establish the relationship between two main variables: the social media use (SMU) as an independent variable and the network behavior (NB) as a dependent variable whose organizational consequences have been largely established by the literature, and then to explore the effect of a third variable: the social media disorder (SMD) on this relationship in the context of the United Arab Emirates.

Key Words: social media use; networking behavior; social media disorder

The Network can be defined as "a set of actors or nodes along with a set of ties of a specified type that link them" (Borgatti & Halgin, 2011). Network research is today an emerging paradigm in organizational research that has observed an exponential growth in the research on social networks (Borgatti & Halgin, 2011). The research on networks theory in the domain of human resource management discipline has demonstrated considerable outcomes such as career success (Wolff & Moser, 2009), attitudes towards workplace politics, self-esteem, extraversion (Forret & Dougherty, 2014), creativity (Zhou, Shin, Brass, Choi, & Zhang, 2009; Burt, 2004), and so on. Although, the existing research helped establish the legitimacy of networking theory by reporting significant outcomes variables related to Social Capital promises (Borgatti & Foster 2003), yet a less important focus has been made on the antecedents of networking itself, revealed by the lack of established relationships aiming at explaining the emergence of these networks and their proliferation.

Besides, the statistics show that 2.07 billion is the average number of monthly active users of Facebook as of September 30, 2017 (www.newsroom.fb.com) and 330 million, the number of monthly active users of Twitter by the third quarter 2017 (www.statista.com). These statistics, illustrating the huge expansion of the online social media use, drive the thinking that instead of restricting the use of such communication channels, companies should manipulate the use of private social media channels between co-workers for the organization benefits. Nevertheless, the number of studies examining the positive impact of SMU on the coworkers' behavior at the workplace remains modest (Hanna, Kee, & Robertson, 2017). Particularly, the relationship between SMU and NB requires further research

attention due to its positive individual outcomes such as career satisfaction, salary growth and job performance (Gibson, Hardy, & Buckley, 2014; Wolff & Moser, 2009; Thompson 2005; Forret & Dougherty, 2001) and career success of well-connected individuals and employee`s access to information (Gibson et al., 2014).

The scope of this paper is to consider the role of social media in creating and maintaining social networks among employees in the workplace. Thus, The Social media is thought as a networked communication platform in which participants, using uniquely identifiable profiles, can publicly articulate connections that can be viewed and traversed by others, and can consume, produce and interact with user-generated content provided by their connections on the site (Liu, Kirschner & Karpinski, 2017). Users can access Social media on different platforms (mobiles or computer devices) and for different activities (Banyai et al., 2017). The five worldwide most popular social media platforms and apps displayed by the literature, and used in the current empirical study, are Facebook, Whatsapp, Instagram, Youtube, LinkedIn and Twitter (Van Den Eijnden et al. 2016; Kietzmann et al., 2011).

Furthermore, in this paper, will be explored the effect of the Social Media Disorder (SMD) on the networking behavior and on the relationship between the SMU and the NB. SMD is intended here as the result of compulsive use of social media (Griffiths et al., 2017).

1. THEORY AND HYPOTHESES

1.1 Social media and Social media use

Social media refers to the collective of online communication channels and computer-mediated technologies dedicated to community-based (Thompson & Bluvshtein, 2008). The use of these channels facilitates the creation and sharing of information, ideas, career interests and other forms of expression via virtual communities and networks (Kietzmann et al., 2011). Social media is normally confused with social networks. However, both are significantly different concepts. The latest is basically assumed as an act of social engagement established around human relationships that predates the emergence of internet connection. However, social media is a way everyone can create, transmit, or share information

and ideas with a broad audience on social networking sites via internet connection. Thus, we consider that social media is a tool that allows people belonging to a social network connect together and build online communities.

Throughout this paper, the social network is thought as a social structure made up of a group of individuals interacting in a given pattern. Using the social network analysis framework, the social network perspective aims at analyzing these structures and identifying the said patterns. (Wasserman & Faust, 1994).

One of the important factors affecting the social networks nowadays is the use of the social media, which involves users` networking behavior and emotional connection, and the integration of this use in their daily social lives to build social capital (Verra et al., 2012). The Social Media Use (SMU) can thus be defined as the degree to which social media is integrated into the social behavior and daily routines of users and the importance of an emotional connection to this use (Jenkins-Guarnieri et al. 2013 p.39).

1.2 Networking and Networking Behavior

Before advancing the study, it is important to educate the readers about the different concepts and classifications related to the networking used in the management framework. In the literature, networking is usually defined as "a set of interrelated behaviors consistently shown by individuals, aimed at building, maintaining and using informal relationships that possess the potential benefit of facilitating work-related activities of individuals by voluntarily granting access to resources and maximizing common advantages" (Wolff, & Moser, 2009, p.197). On the other hand, networking behavior, which is the focus of the current study, basically refers to "a unified, integrated and goal-directed behavior which occurs both inside and outside of an organization, focused on creating, cultivating and utilizing interpersonal relationships" (Gibson et al., 2014 p. 150). The same concept is also apprehended as individuals` attempts to develop and maintain relationships with others who have the potential to assist them in their work or career (Forret & Dougherty, 2001).

It seems relevant at this level to highlight two distinctions drawn by the literature regarding the concept of networking: internal vs external and formal vs informal. The internal networking emphasizes the

interaction with others inside the organization boundaries, whereas external networking focuses on the interaction with outsiders such as clients and suppliers (Forret & Dougherty, 2001). However, the literature has shown that internal networking has a relatively higher importance for career success than external networking (Wolff & Moser, 2009). Further, the research has also shown that external networking is associated with negative outcomes like turnover (Gibson, et al., 2014). Thus, in this study, we will focus on internal networking behavior as a healthy business indicator.

The research has also distinguished between formal and informal networks. The informal and formal networks can be distinguished based on different characteristics such as an emphasis on individuals` goals, vs organizational goals; unstructured and spontaneous vs structured and planned communication; lateral vs vertical hierarchy and physical, professional and social proximity vs formally related offices regarding communication basis (Waldstrom, 2001). Some authors refer to the informal networks as social networks and define them as the pattern or structure of associations amongst a set of actors in a network (Porter, Woo, & Campion, 2016; Monghan, Lavelle & Gunnigle, 2017). Although these two network categories may coexist and complete each other, the performances of organizations are rather determined by the informal structure (Krackhardt, 1993; De Toni & Nonino, 2010). Thus, the focus of this study lies on informal networks.

Furthermore, whereas a vast amount of literature focused on the consequences of networking behavior such as turnover (Porter et al., 2016), creativity (Burt, 2004), career success, job satisfaction (Wolff & Moser, 2009), few studies have been published on the causes of network emergence or change over time (Borgatti & Foster, 2003). Considering NB as a dependent variable, this study attempts to enhance the understanding of the factors precursor to the emergence and evolution of the networking behavior.

1.3 Network theory or theory of networks

Despite a significant criticism (Salancik, 1995), the social networking analysis has gained increasing attention of the researchers in the organizational research (Borgatti & Foster, 2003). The organizational research on networking has distinguished between two main domains of social network analysis: the network theory and the theory of networks. The first one refers to “the mechanisms and processes that interact with network structures to yield certain outcomes for individuals and groups”, the second refers

to "the processes that determine why networks have the structure they do". As the current research aims at investigating the effect of social media use as antecedent to the emergence and evolution of the networking behavior, this study finds its theoretical foundation in the second domain of social network analysis: the network theory (Borgatti & Halgin, 2011).

1.4 Social media use and social media disorder

When analyzing Social Media or Internet Disorder, many authors identify addiction as problematic and pathological behavior resulting from the overuse of social media. SM addicted means for an individual, to be overly concerned about SM, to be driven by a strong motivation to log on to or use SM and to devote so much time and effort to the SM (Schou, Andreassen, 2015). This addiction can be determined by a range of symptoms including Mood modification, salience, tolerance, withdrawal symptoms, conflict, and relapse, increased by depression and anxiety. (Griffiths, 2005; Banyai et al., 2017; Primack, et al., 2017). Moreover, some studies used the psychology field to explore the relationship between personality characteristics and social media addiction through namely the Big-five personality model. They talk about an online social network obsessive-compulsive disorder resulting from the positive feelings obtained from the sense of connectedness and establish a full mediation relationship between SMU and SMD. (Andreassen, 2015; James et al., 2017)

1.5 Social Media Use and Networking Behavior: A Novel Insight

Therefore, as per the NB definition, in this study, we remain at an individual level of analysis (vs organizational level) and we hypothesize that the use of SM in the workplace is positively associated with networking behavior in that the use of these channels facilitates the creation and sharing of information, ideas, career interests and other forms of expression via virtual communities and networks (Kietzmann et al., 2011) inside the organization aimed at building , maintaining and using informal relationships that facilitate work-related activities of individuals within the workplace (Wolff & Moser, 2009; Porter, Woo, & Campion, 2016). NB being considered as our dependent variable.

The use of private Social media channels is central to the organizational lives of most managers, staff, and employees, but the implications of social media use on psychological adjustment are not well

understood. In most studies, social media can refer to internet applications that enable users to generate and exchange content with others (Kaplan, and Haenlein, 2010). The use of Social media is becoming increasingly more prominent in our lives. More and more individuals, groups, and organizations are joining and using social media networks as a primary means for communication (Jenkins-Guarnieri, Wright, & Johnson, 2013).

In this study, we attempt to explain the positive relationship between Social Media Use and Networking Behavior to extend the existing scholarship about positive outcomes of social media usage. Contrary to the negative assumptions of the uses of social media within the workplace, McAfee, 2009 claimed that social media can promote positive dynamics at the workplace by reinforcing positive connections between colleagues using different social media. Similarly, Browning, Morris, and Kee, (2011) found that using social media can be a form of engagement for organization members. They argued "By engaging in dialogue with other members, sharing information, building public goods, and becoming engaged, individuals involve themselves substantively and symbolically in the sense-making activities of the organization and move closer together in the sense of a more common understanding and a greater sense of belonging to the organizational community" (Browning, Morris, and Kee, 2011 p.572).

Based on previous arguments, we hypothesized that:

Hypothesis 1: Social Media Use is positively associated with networking behavior.

1.6 Social Media Disorder and Networking Behavior

Ryan at al. (2014) recognize that the field of SMD is relatively young and transmit the definition of Peng, Kim, and LaRose (2010) who define Social Network Sites addiction as a failure to regulate usage, which leads to negative personal outcomes. The majority of preliminary studies in this field focused primarily on Social Media addiction amongst teenagers, adolescent and emerging adults, and considered that for this age group, the use of Social Media is outright thought as a way of being and that the excessive use of these social network sites may lead to addiction (Griffiths, 2005; Peng, W et al., 2010; Griffiths & Kuss, 2011; Kuss & Griffiths, 2011). More recent research revealed noticeable differences in terms of social and psychological well-being associated with SMU, amongst young and mature

adults, and demonstrated that the latest group are more vulnerable in that the use of social media has detrimental consequences on their well-being (Teo, and Lee, 2016; Griffiths & Kuss, 2017). Vanucci, Flannery and Ohannessian, 2017 establish the link between "higher daily social media use" and anxiety and stress. Other studies highlighted the effect of the risks of the misuse of such electronic systems in the workplace on organization productivity and reputation (Cilliers, 2013). In the current study, we will focus on the relationship between the SMD and the NB among employees in the workplace. Networking behavior being considered as a unified, integrated and goal-directed behavior which occurs inside the organization, focused on creating, cultivating and utilizing interpersonal relationships earlier in this paper as a healthy business indicator. And we suppose that the existence of Social Media Disorder in the company hinders the emersion of NB.

Hypothesis 2: SMD is negatively linked to Networking Behavior.

1.7 Suppressor Effect of Social Media Disorder

Social media disorder is a negative construct that involves the failure of an individual to regulate the use of social media resulting in negative individual outcomes (Ryan et al., 2014). One of such negative likely personal outcome may reduce the networking capacity. Thus, we consider the SMD as a suppressor variable and we suppose that SMD existence disturbs the establishment of a positive link between SMU and NB.

Hypothesis 3: SMD suppresses the effect of SMU on NB such that the relationship between SMU and NB is weaker in the presence of SMD.

2. METHODOLOGY

2.1 Design, Procedure, and Sample

The unit of analysis consisted of working professionals enrolled in executive education programs in a private Higher Education Institution (HEI) located at Abu Dhabi, United Arab Emirates. Ethical approval for data collection from the unit analysis was obtained from the "Research Department" of the HEI. The consent of students was obtained through a cover letter that also ensured the confidentiality

of the data obtained through the questionnaire. The students were accessed in the classrooms and were requested to complete the questionnaire. The students were provided a briefing about filling the questionnaire. Different rating anchors for each measure were used to avoid common method bias (Podsakoff, et al. 2003). The data were collected using a paper-pencil questionnaire through a purposive sampling method. Particularly the respondents were requested to rate their networking behavior during the last two weeks. The respondents were requested to participate in the study. Initially, 300 respondents agreed. In total, 170 completed questionnaires were returned. The response ratio was 78%. After removing 36 incomplete surveys, 134 complete valid responses were used for data analysis purpose.

2.2 Measures

3.1.1 Independent Variable: Social Media Use

Social Media Use was measured using a 10-item scale developed by Jenkins-Guarnieri, Wright, and Johnson (2013). The sample item was: 'I feel disconnected from friends when I have not logged into social media'. One of the items in the scale was reverse so we removed this item. The reliability of the scale (croanbach alpha) was 0.895.

2.2.2 Suppressor Variable: Social Media Disorder

Social Media Disorder was measured using a 9-item scale developed by van den Eijnden, Lemmense and Valkenburg (2016). The sample item was: 'During the last month, have you often felt bad when you could not use social media?' The reliability of the scale (croanbach alpha) was 0.857.

2.2.3 Dependent Variable: Networking Behavior

Networking having been referred to as "a set of actors connected by a set of ties" (Borgatti & Foster 2003). These ties have been categorized into two basic types: state-type ties and event-type ties. The state-type ties characterized by their continuity and persistence over time. This type of ties is characterized as in terms of strength, intensity, and duration, which can be distinguished as kinship ties, role-based ties, cognitive and affective ties. On the other hand, the event-type ties have transitory nature and can be counted over periods of time. This type of ties can be characterized in terms of frequency of occurrence of interactions and transactions (Borgatti & Halgin 2011). In order to be more

comprehensive, in this study we measured networking behavior through a scale that contains both state-type and event-type ties.

Networking Behavior was measured using a 12-item scale developed by Forret, and Dougherty (2010). The sample item was: 'Within the last month, how often have you given business contacts a phone call to keep in touch? The reliability of the scale (croanbach alpha) was 0.917.

2.2.4 Control Variables

We controlled for the effect of business networking on the networking behavior of the employees. The business networking was measured using 6-items scale developed by (Lau and Bruton, 2011; Yiu et al., 2007). We requested the respondents to provide us the rating of how close they are with different categories of people and stakeholders (e.g. government officials). The respondents provided their ratings on a 5-point Likert scale ranging from 'not at all' to 'extremely familiar.' The reliability of the scale was 0.88.

3. DATA ANALYSIS AND FINDINGS

3.1 Analytical Strategy

We conducted confirmatory factor analysis (CFA) using AMOS to examine the factorial validity of the measures used in the current study. The fit indices used to analyze the adequacy of the model included chi-square minimum difference (CMIN/DF), Comparative fit indices (CFI), Root-Mean-Square Error of Approximation (RMSEA). An ideal model fit requires that the value of CMIN/Df should be less than 3, the value of CFI should be greater than 0.90 and the value of RMSEA must be less than 0.05. The initial CFA model did not demonstrate an adequate fit. After removing four items of social media disorder scale due to the loading on social media usage and removing four items of social media use and 8 items of networking behavior scale due to factor loadings less than 0.40, the three-factor CFA model (i.e., social networking, networking behavior and social media disorder) indicated good fit with the data as the obtained values were extremely close to the model fit values (CMIN/Df = 1.593; CFI = 0.88; RMSEA = 0.066). We used the standardized regression weights and the correlations obtained

from the final CFA model to interpret the convergent and discriminant validity using an excel sheet developed by James Gaskin (http://statwiki.kolobkreations.com/index.php?title=Main_Page). The values of the critical ratio (CR), Average Variance Explained (AVE), MSV and the correlations demonstrate statistical evidence for the discriminant and convergent validity of the scales used in the current study (Refer to table 1 Discriminant and Convergent Validity of the Scales.)

3.2 Hypothesis Testing

Finally, we examined the statistical results for the hypothesized relationships of the current study using a structural regression model. This structural regression model contained social media use as an independent variable, networking behavior as a dependent variable, social media disorder as a suppressor variable and business networking as a control variable. The results of this structural regression model demonstrated that social media use was positively associated with social media disorder ($\beta = 0.521$; $p < .001$). This result supports the first hypothesis (H1) of the study. The second hypothesis of the current study stated that social media disorder is negatively associated with networking behavior. However, the statistical results of the study demonstrated that the association of social media disorder with networking behavior was positive and insignificant ($\beta = 0.263$; $p > .05$). Although these results did not demonstrate statistical support for the second hypothesis (H2) of the current study yet this satisfied a key condition of the suppressor effect that the suppressor variable is not significantly associated with the dependent variable.

The key objective of this study was to examine the suppressor effect of social media disorder on the relationship between social media use and networking behavior. Contrary to the mediator or confounding variables, a variable can be called as a suppressor when its statistical removal results in an increase in the magnitude of the relationship between the independent variable and the dependent variables (MacKinnon, Krul and Lockwood, 2000).

To examine this condition of the suppressor effect, we examine the direct relationship between social media use and networking behavior by testing a separate structural regression model. This structural regression model (CMIN/Df = 1.593; CFI = 0.88; RMSEA = 0.066) demonstrated that the direct relationship between social media use and networking was positive but insignificant ($\beta = 0.07$; $p > .05$).

Further, the results also demonstrated that the direct effect of social media use on networking behavior reduced and became negative in presence of social media disorder (β = -0.12; p > .05). The total difference in the beta coefficient of the relationship between social media use in the presence of social media disorder and in the absence of social media disorder was -0.19(-0.12 - 0.07). In order to check the significance of this difference between direct effect in the presence of social media disorder and in the absence of social media disorder, we performed Sobel test (Sobel, 1982). The results demonstrated that the difference in the coefficient for direct effect in presence of social media use and in the absence of social media use was significant (t= 2.255; Standard error = 0.061; p<0.05). This represented that the direct effect of social media use on networking behavior increases upon the removal of social media disorder (β=0.07; p > .05). This represents that social media disorder suppresses the effect of social media use on networking behavior. This supported the third hypothesis (H3) of the current study.

4. DISCUSSION AND RESEARCH IMPLICATIONS

4.1. Discussion and Theoretical Implications

The existing research has supported significant contribution of social media usage for organizational members in managing their professional collaborations. The negative affective consequences of social media usage reported in the recent stream of research (e.g. anxiety (Vannucci, et al., 2017), depressive symptoms (Nesi & Prinstein, 2015), negative self-evaluation (Andreassen, Pallesen, & Griffiths, 2017); van den Eijnden, et al., 2016) outweigh the positive affective outcomes of SMU (Ryan, et al., 2014; Hanna, et al., 2017). These conflicting findings demonstrate a need to understand the conditions underwhich SMU brings positive and/or negative consequences. Particularly, there is limited research has examined the situtaions under which a negative social media outcome may suppress/mitigate the effect of social media usage on some positive organizational outcomes. Unfortunately, existing research has paid little attention to this aspect. This investigation has offered its theoretical contribution in four important ways.

First, based on network theory (Borgatti & Halgin 2011), this study has tested a hypothetical model that offered a psychological explanation about the conditions of social media disorder under which the effect

of social media use on networking behavior of employees is mitigated. Some recent investigations have emphasized on internal individual characteristics(e.g. individuals' motivation Lai, 2019) as boundary conditions which may regulate the positive or negative consequences of SMU. However, the studies have largely ignored those key aspects of an individuals' internal psychological charecteristics which define the pattern of their behaviors regarding SMU. SMD is based on addiction(van den Eijnden, Lemmens, & Valkenburg, 2016) that may determine the behavioral pattern of a social media addicted individuals. By advancing research on SMU and networking behavior (a positive outcome of SMU), this study has theoretically contributed to the existing research on SMU by introducing SMD as a boundary condition that may suppress/mitigate the positive relationship between SMU on networking behavior. In a sample of 134 UAE national employees, this study found a significant suppressor effect of social media disorder on the relationship between social media usage and networking behavior of employees such that the relationship weakens significantly under the conditions of high social media disorder. This finding advances social media usage literature by providing an explanation about the conditions under which the positive outcomes of SMU may be suppressed.

Second, although not a theoretically significant contribution, yet, this study has also found the positive relationship between SMU and SMD. This finding confirms the existing perspective that SMD is an outcome of excessive use of social media (van den Eijnden, Lemmens, & Valkenburg, 2016). This finding explains that how social media usage leads to negative psychological issues. Deriving the statistical results from a sample of United Arab Emirates, this study has theoretically contributed in the existing research by highlighting the social media use as a significnat predictor of social media disorder. Supporting the view of Peng et al. (2010), the current study has confirmed that the overindulgence in the social media leads towards an addiction and/or disorder. Social media disorder (Ryan et al., 2014) is a relatively new concept which represents an individual's addiction to the social network sites (Peng, et al., 2010). These findings demonstrate that the excess use of social media is fatal for the psychological health of an individual although it is not directly affecting their networking behavior.

Third, this study has found an insignificant association between social media disorder and networking behavior. This finding is opposite to our expectations because we expected a negative association

between social media disorder and networking behavior. This result explains that social media disorder is not a significant contributor towards the networking behavior among the professionals. This finding may represent that networking behavior is not specific to social media. Hence, SMD or an addictive or excessive use of social media is not a necessary condition for networking behavior of an individual. These findings comply with a the results of a recent study that has found that demonstrated that facebook deactivation reduced social media activities among US facebook users while increasing their offline activities like watching TV and socializing with family and friends (Allcott, Braghieri, Eichmeyer, & Gentzkow, 2019). This demonstrates that offline activities like socializing with friends (Allcott et al., 2019) may have a more significant role in networking behavior of an employee as compared to the online social media usage.

Fourth, some theorists (McAfee, 2009; Cameron & Spreitzer, 2013) have supported significant role of social media usage for stimulating positive connections among the organizational members at the workplace. However, the current study has found an insignificant positive association between Social Media Use and Networking Behavior. Hence, this study does not support a significant direct positive association between social media usage and networking behavior. This finding brings our attentions toward a different direction, particularly, towards some missing connection (like tendency of establishing interpersonal relationships and personality attributes (openness)) through which the direct association between social media usage may be indirectly linked to networking behavior.

4.2 Practical Implications and Future Research

This study offers some practical implications and future research recommendations based on its findings. There is a general understanding that, perhaps, networking behavior may be an organizationally desired behavior only and the companies may encourage the use of social media to enhance networking behavior among their employees. The significant relationship between SMU and NB demonstrates that SMU may appear an organizationally desired practice for organizational members to enhance networking behavior of their employees. However, an insignificant relationship between SMD and NB demonstrates that the organizational members need to encourage SMU to a specific limit because an excessive use of SMU turns into SMD that may no longer encourage networking behavior.

While the researchers may investigate the nature of relationship between SMU and NB (i.e. linear vs non –linear), using some longitudinal research designs, to identify the limit to which the SMU doesn't turn into SMD and keeps on contributing to the NB of employees positively. Based on Allcott's (2019) findings that facebook deactivation enhances offline activities like socializing with family and friends, we believe that offline social media activities may have a more significant effect on networking behavior of employees as compared to the online social media activities. Hence, recommend that future research may compare the effect of online SMU with the effect of offline social media activities on networking behavior. Hence, the type of social media activities may be introduced as a moderator between SMU and NB.

Conclusion

To summarize, through this research, our goal was to establish a relationship between two main variables: Social Media Use as an independent variable, and Networking Behavior as a dependent one, and to show the suppressor effect of a third variable: Social Media Disorder. The empirical study confirmed that social media usage is positively associated with both social media disorder as well as the networking behavior. Similarly, this study has also confirmed that social media disorder suppresses that effect of social media usage on networking behavior of employees.

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TABLES

	CR	AVE	MSV	MaxR(H)	SMU	NBM	SDM	BN
SMU	0.859	0.504	0.286	0.861	**0.710**			
NBM	0.873	0.635	0.558	0.894	0.073	**0.797**		
SDM	0.792	0.664	0.286	0.919	0.535	0.357	**0.815**	
BN	0.882	0.601	0.558	0.888	0.071	0.747	0.226	**0.775**

Table 1: Discriminant and Convergent Validity of the Scales

Stream 13: Sustainability and Social Issues in Management

Refereed Delivered Session

Familial Logics and Environmental Sustainability

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Abstract

The paper highlights how the application of familial logics is a powerful explanatory lens for understanding variations in the approach of wineries to environmental sustainability. Using institutional logic, the paper first discusses how familial logics impacts the strategic conduct and environmental performance of the firm. The involvement of the family in the business makes family firms adhere to different institutional variables and differentiates their approach to environmental sustainability from that of non- family wineries. We found goals family expect to fulfil with the family business (familial logics) creates unique family resources ("familiness"), which can be utilised as competitive advantages. We argue that while family logics create the environmental intention, "familiness" provide required resources to implement sustainable activities.

Key Words

Sustainability, Social Issues, Wineries, Institutional Logics, Familial Logics, Environmental Sustainability

Stream 13. Sustainability and Social Issues in Management

Refereed Delivered Session

INTRODUCTION

The extant literature has documented the engagement of family business in preserving the natural environment (Banerjee, 2001; Greenwood, Díaz, Li, & Lorente, 2010; Uhlaner, Berent-Braun, Jeurissen, & Wit, 2012). At the core of this area of research is the idea that family businesses are different from non–family businesses in their motives and approach to environmental sustainability (Berrone, Cruz, Gomez-Mejia, & Larraza-Kintana, 2010; Craig & Dibrell, 2006). However, the field has developed an oversimplified idea that family businesses are homogeneous regarding environmental sustainability. As an example, recent attention has focused on understanding whether family firms perform better related to environmental sustainability compared to their non-family counterparts (Cruz, Larraza-Kintana, Garcés-Galdeano, & Berrone, 2014; Neubaum, Dibrell, & Craig, 2012). Findings have been mixed, and most scholars have relied on dichotomous variables, thus treating family firms as homogeneous (Chua, Chrisman, Steier, & Rau, 2012). However, a family business operates in an organisational field where family system and the business system interacts (Reay, Jaskiewicz, & Hinings, 2015), creating variations in the response and approach to environmental sustainability response by firms in the same industry (Marques, Presas, & Simon, 2014). This aspect, however, has not been properly captured in the existing literature.

The concept of homogeneous business entities was the result of discussion within the organisational field, which is part of the broader institutional and organisational literature (Reay et al., 2015). The organisational field was identified as creating homogeneous business entities (DiMaggio & Powell, 1983a). DiMaggio and Powell (1983a) defined the organisational field as " those organisations that, in the aggregate, constitute a recognised area of institutional life: key suppliers, resource and product consumers, regulatory agencies, and other organisations that produce similar services or products" (p 148).,Institutional theory and the family business researchers subsequently linked institutional logic, which is a development of institutional theory, and the idea of multiple- coexisting logics (family logic, business logic, and community logics) to explain the pressure coming from various actors in the

field in which family firms operate (Reay et al., 2015; Thornton & Ocasio, 1999; Thornton & Ocasio, 2008).

Some researchers have argued that family firms sacrifice financial goals (business logics: firm exists to make profit) in order to preserve family logics (business exists to satisfy the family goals) (Craig & Moores, 2005), while others suggest a trade-off between these goals (Miller, Breton-Miller, & Lester, 2011). Other researchers, however, have been more focused on understanding familial logics as a dominant logic among other multiple- coexisting logics, such as business and community logics that treat family businesses as homogeneous (Thornton & Ocasio, 1999).

In contrast, Reay et al. (2015) suggested multiple logics can coexist, and moreover can be complementary to each other. Further, utilising the idea of familiness introduced by Habbershon and Williams (1999), Reay et al. (2015) explained how familial logics could be a unique resource for the business (familiness). As resources are unique, this will make it possible to understand the variations in family businesses. For instance, Reay et al. (2015), investigated the behaviour of different types of wineries within the Okanagan region in Western Canada and argued that family goals lead to creating a set of family resources (familiness), which can be utilised to benefit the family firm. However, these authors did not explain what type of family goals (familial logics) could be converted into unique family resources (familiness), hence how such resources could create a unique competitive advantage in a given market.

The purpose of this paper is to **investigate the impact of familial logics on environmental sustainability practices in family business within the wine industry.** The paper is based on the assumption that family businesses are heterogeneous in their approach to environmental sustainability.

The remainder of this article is structured as follows. In the first section, the extant literature is reviewed to explain the reasons for selecting the wine industry as the research context. In the next section, institutional logics is discussed particularly concerning the impact of familial logics in creating unique resources for the family firm. A conceptual model to explain the connection between familial logics and variations in the environmental sustainability of family firm is presented. The findings of the

analysis of the literature that addresses: a) drivers of environmental sustainability of wineries and; b) how familial logics can drive firm environmental behaviour is discussed. Finally, the authors conclude and consider potential implications for future research.

RESEARCH CONTEXT

The wine industry provides a relevant context to study the above research question. First, it offers a multifaceted and rich field to study a range of issues in business management (Orth, Lockshin, & d'Hauteville, 2007), including environmental sustainability. The expansion of the wine industry around the world, including New World countries, such as New Zealand and Australia has led to significant environmental concerns, such as degradation of soil, depletion of groundwater and surface water (Barbora Gabzdylova, John F. Raffensperger, & Pavel Castka, 2009b) and land use, waste disposal (Gabzdylova et al., 2009b). As a result, the wine industry has become a highly scrutinised industry by many stakeholders groups (Gabzdylova et al., 2009b) who demand environmentally sustainable practices. However, some authors have argued that the wine industry gets less attention than "dirty" industries, such as the chemical industry (Gabzdylova et al., 2009b), yet the significant impacts of wineries over the natural environment cannot be neglected.

Second, winemaking and the wine industry is one of the most representative economic activities in many countries (Bresciani, Giacosa, Broccardo, & Culasso, 2016) and the majority of the industry is owned and operated by small to medium family businesses (Bresciani et al., 2016; Brundin & Wigren-Kristoferson, 2013). Further, according to Reay et al. (2015), the wine industry is made up of a large percentage of diverse (small and medium, large, lifestyle, traditional) family businesses operating in the organisational field sharing other similar logics (e.g., regulatory) except familial logics. Therefore, family businesses operating in the wine industry provides an excellent context to study how familial logics leads to variations in the environmental practices of family firms.

Thirdly, the global wine market has become more complex with increasing competition (Garcia, Marchetta, Camargo, Morel, & Forradellas, 2012) and sudden fluctuations in customer demand and supply for products (Golicic, Flint, & Signori, 2017), making strategic decisions increasingly

challenging (Golicic et al., 2017). As discussed, earlier, familiness resulted from familial logics, provide a unique set of resources for the family business, and those resources can be used to create a sustainable competitive advantage in the market. More importantly, family wineries are mostly controlled and governed as a family and passed down through generations (Bresciani et al., 2016). The founder name, family history and the inter-generational land that the winery operates on, all contribute to the brand of the wine (Strickland, Smith-Maguire, & Frost, 2013). The grape growing, winemaking, brewing and many other aspects of wine producing processes are built around the family culture and traditions. Finally, researchers argue that there is a trend of wineries using green labelling, environmental sustainability and organic wines as a competitive tool (Orth et al., 2007).

The above section discussed the relevance of wine industry as a context to discuss the purpose of this paper. The following section briefly explain the process use to select and review the extant literature.

RESEARCH METHOD

The systematic review of the literature was conducted in four phases (Massaro, Dumay, & Guthrie, 2016). The first phase was a general search of relevant literature using different combinations of key search terms. Second, advanced search criteria was used to screen the most relevant journal articles for the review. The third phase included a review of the abstracts and topics, and when necessary, findings and discussion sections of the full journal articles to select the articles for the final step of analysing the articles.

Firstly, a general search of relevant literature using different combinations of key search terms: “winery”, “wineries”, “vineyard”, “environmental practices”, “environmental sustainability”, “family firms”, and “family businesses”. “institutional theory” “institutional logic”. Secondly, the use of advanced search criteria; these criteria were different from Google Scholar (Feather, 1994) to other management databases, such as ProQuest. Therefore, the author used advanced filters: full text, reference available, peer-reviewed, 1953-2018. This search generated 517 articles. The Google Scholar search created 13,200 articles for the same keywords above. However, after omitting books and book chapters and journals and articles focused on the science of wine and winemaking (Oenology), tourism,

marketing and consumer behaviour and succession; and included only those articles with at least one word of "family business" or "family firm" and "institutional logics", 281 articles remained.

Thirdly, the lead author read the topic, abstract, and when more information was needed, the findings and the discussion sections, to identify the relevance of the article from both databases. After removing duplications, 68 articles remained. These articles integrated environmental practices, family businesses and wineries and included some discussion of the drivers of environmental sustainability in family firms.

THEORY DISCUSSION: FAMILIAL LOGICS

Thornton and Ocasio (2008), separated institutionalism (theory and analysis) from the institutional logics. Institutionalism is defined as the influence of social pressure outside the organisation, both institutionally (family, local community, government), and from a professional environment. As an example, for wine producing family firms operating in New Zealand, the Sustainable Wine Growers New Zealand (SWNZ) is a key part of the professional environment, which provides winegrowers with a framework of environmental guidelines, quality control and assurance for the consumer that the products are made with the minimum impact on the natural environment.

Institutional logics are defined as those social actors provided by institutions (e.g. in a family firm, family members are social actors provided by family institution), who set social norms required to meet conformance by other family members (e.g. founders who are actively involved in the business are required to adhere to the altruistic needs of other family members). By adhering to those norms, founding owners are able to gain legitimacy for their business decisions and performance (Scott, 1995). For example, Thornton and Ocasio (2008) supporting the argument of legitimacy, stated "Institutional logics are more than strategies or of action as they are sources of legitimacy and provide a sense of order and ontological security"(p 108).

Institutional logics also defined as, " the socially constructed, historical patterns of material practices, assumptions, values, beliefs and rules by which individuals produce and reproduce their material

substance, organise time and space, and provide meaning to their social reality." According to Greenwood, Diaz and Lorente, (2010), "institutional logics provide the 'master principle' of society and guide actions" (p 521). These authors further state that logics clearly define the actions and are also linked to the history of the business. More importantly, different organisations do not respond in the same way (homogeneous) to multiple logics in their contexts. This theory supports the argument of this paper, that family businesses are heterogeneous in their response towards the needs and demands of the field.

Many studies have linked institutional logics with actions (Greenwood et al., 2010). For example, institutional logics have been linked with historical contingency power in higher education (Thorton & Ocasio,1999), innovation (Lounsbury & Crumley, 2007) and social responsibility (Ioannou & Serafeim, 2015). Relatively little is known about the impact of institutional logics on family business performance (Greenwood et al., 2010). This paper intends to link the impact of familial logics to the variations in the approach to environmental sustainability by family firms operating in the wine industry.

Familial logics present in the family firms' field influence strategic priorities (Miller, Le Breton - Miller, & Lester, 2011b; Monti & Salvemini, 2014) and firm performance (Dyer Jr, 2006; Peng & Jiang, 2010). Familial logics is identified in the literature as the entrepreneurial orientation of family owners that reflects "nurturing (financial security), generativity (guiding and mentoring of the next generation), and loyalty to the family (protecting the family name) so that family members bestow legitimacy to those who are serving the family needs (D. Miller et al., 2011b) . Familial logics are interconnected and co-exist; therefore, they cannot be studied as isolated variables. For example, the desire of founders to build a sustainable family business satisfies the role of nurturing (by establishing a stable business) and legacy (by transferring a sustainable business to the next generation). In contrast, some authors have argued that the larger the influence of the family in the business, the less institutional control (Miller, Le Breton - Miller, & Lester, 2011a; Reay et al., 2015). To be clear, the focus of this study is the familial logics, not intuitional theory or institutional analysis.

Reay et al. (2015), stated that familial logics could be beneficial and profitable for the family firm when the logic created "familiness". Familiness has been defined by Habbershon and Williams (1999), as the unique bundle of resources owned and controlled by the family. More importantly, familiness varies across firms and represents potentially unique resources; therefore, it can be considered as a source of sustainable competitive advantage. On the other hand, family goals (family logic) such as, the desire to secure a healthy business for the next generation can drive the firm to engage in more proactive environmental actions. However, actual performance will depend on the unique set of resources owned and control by the firm, such as human capital, finance and the network of relationships with the community. Therefore, the paper argues that familial logic impacts environmental decisions of the firm and can also explain the variations in environmentally sustainable approaches. The conceptual model (refer to the Appendix 1) is developed using the previous literature to explain the relationship between family logics, familiness, competitive advantage and the possible impact on the environmental sustainability.

FINDINGS

The findings from the literature that address: a) drivers of environmental sustainability of wineries and; b) how familial logics can drive the firm's environmental behaviour are listed below.

a) Drivers of environmental sustainability

Different authors use slightly different classifications regarding drivers of proactive environmental responses. For example, Marshall, Cordano, and Silverman (2005) classified drivers as individual (managerial attitude and norms) and institutional, with sub-classifications including: a) Local institutional networks: associations, suppliers, community group, customers; and b) Regulations. However, Barbora Gabzdylova, John F Raffensperger, and Pavel Castka (2009a) have the same classification with different items composing individual (personal environmental values and employee welfare) and institutional drivers (compliance with current regulations; pre-emption of future regulations and community groups). Dodds, Graci, Ko, and Walker (2013) used the classifications: internal, external and strategic. Appendix 2 summarises the drivers of environmental sustainability

identified by the articles under this review. These drivers resulted in a range of highly proactive (voluntary) to highly reactive (compliance based) environmental actions detailed below.

Personal values have been recognised as a significant driver of proactive strategic environmental responses in family businesses (Delmas & Gergaud, 2014; Marshall et al., 2005). For example, Atkin, Gilinsky Jr, and Newton (2011) stated that one of the key motives of winemakers to engage in environmental sustainability is, "leaving the land in better shape for the next generation" (p 37). Personal values has also been recognised as the main driver by researchers of the New Zealand wine industry (Dodds et al., 2013), as well as the association of the country's image as "clean and green" (Hughey, Tait, & O'Connell, 2005).

The business case for environmental sustainability was found to be another significant driver. Many researchers recognised strategic, market, regulations, cost leadership and differentiation as key components of the business case for environmental sustainability. For example, Hughey et al. (2005) compared the perception of owners and managers of the New Zealand wine industry regarding the competitive advantages for environmental management systems (EMS), and found businesses with an EMS derived greater supply chain optimisation and operational efficiencies, differentiation and market leadership, and higher levels of commitment to sustainability initiatives even during an economic downturn than those without am EMS. Another example is Berghoef and Dodds (2011) study on the degree of consumer interest in an eco-labelling programme for the Ontario wine industry. The study examined if customers were willing to pay a premium for eco-labelling. They found that most customers do not currently purchase eco-labelled wine; however, more than 90% were somewhat interested in purchasing an eco-labelled wine. This is a growing issue for these companies which relies on green labels to market their products.

The next section of the paper discusses how the application of familial logics explicates the variations in the level of engagement with sustainable environmental activities in family wineries.

b) Familial logics and the variations in the environmental sustainability activities

Globally, family firms dominate the wine industry (Atkin, Remaud, Gilinsky, & Newton, 2012; Bresciani et al., 2016; Brundin & Wigren-Kristoferson, 2013), with 80%-90% family owned/ family controlled. Therefore, one of the key questions raised in this paper is: Does family logics make any difference to family owned and controlled firms in their approach to environmental sustainability? Moreover, if so, what are the drivers influencing family firms' environmental decisions? Sharma and Sharma (2011) argued that due to the unique nature of family involvement in family businesses, drivers of proactive environmental responses in terms of managerial attitudes/values (motivation) and resource allocation decisions to build organisational capabilities (ability), could also be unique and different from that of non-family firms. "Family firms introduce a dynamic of personalised control that is different from the institutionalised control in non-family firms, significantly affecting the strategic orientation and processes of these firms" (Arregle, Hitt, Sirmon & Very, 2007; Chrisman et al., 2005; Miller & Le Breton-Miller, 2005). Appendix 3 summarises the motives of environmental actions unique to family firms. The rest of the section briefly discusses two family business goals (familial logics) that were included in the conceptual model and how these goals can create unique resources (familiness) that can be advantageous for the firm to persuade environmental goals.

The transgenerational intention of the family as familial logics (family goal 1)

Family businesses are oriented around a family (Chrisman, Chua, & Steier, 2003; Chrisman, Sharma, & Taggar, 2007; Chua, Chrisman, & Sharma, 1999; Sharma, Chrisman, & Chua, 1997; Steier, Chua, & Chrisman, 2009) and often family expect to transfer a healthy business to the next generation. Therefore, the family firm is pressured to make long term investments which are beneficial both for the family and the business. As an example, one reason for wineries to invest in environmentally sustainable activities is to preserve the quality of the soil and land for the next generation so they can continue cultivating quality grapes.

Environmentally sustainable activities driven by the transgenerational intention is one of the critical environmental drivers for family business owners (Craig & Dibrell, 2006), which makes them different from non-family business owners. However, the extant literature does not provide insights about the

extent to which a concern for the long-term moderates environmentally sustainable practices (as noted in Miller & Le-Brenton-Miller, 2016; Berrone, Cruz, Gomez-Mejia, & Larraza-Kintana, 2010; Berrone, Gelabert, Fosfuri, & Gomez-Mejia, 2013; Cruz, Larraza-Kintana, Garces-Galdeano, & Berrone, 2014).

Family desire to preserve its Socioemotional wealth as family logics (Family goals 2)

Gómez-Mejía, Haynes, Núñez-Nickel, Jacobson, and Moyano-Fuentes (2007), refer to socioemotional wealth as "non-financial aspects of the firm that meet the family's affective needs, such as identity, the ability to exercise family influence, and the perpetuation of the family dynasty." Therefore, for family firms the primary reference point is the loss of their socioemotional wealth and to avoid those losses, family firms are willing to accept a significant risk to their performance (Gómez-Mejía et al., 2007, p. 106). This explanation can be applied to the willingness of the founders and other family members to behave more proactively towards the natural environment. For example, Browne, Balan, Lindsay, and Lindsay (2016) explain that small and medium family business in the wine industry has mostly developed their business model driven by non-financial goals. As such, Browne et al. (2016) have concluded, “business model characteristics of small family wine business are centred on nonfinancial characteristics aligned with the concept of socioemotional wealth rather than the traditional financial characteristics associated with business models, that is, those aligned with material success, profitability and/or economic value”. Further, according to Brundin and Wigren-Kristoferson (2013), “The family name as an established brand adds a personal touch to the wine”(p 454). Also in the study of small family wineries, their business models and the socioemotional wealth, Browne et al. (2016) found, “the business model characteristics of small family wine business are centred on nonfinancial characteristics aligned with the concept of socioemotional wealth rather than the traditional financial characteristics associated with business models, that is, those aligned with material success, profitability and/or economic value.” In conclusion, the family goal to preserve its network of relationships, family’s emotional bonds, and family control and involvement in the business, could pressure the family firm to be more socially and environmentally responsible.

The following section briefly summarises the article, including suggestions for four future research areas.

CONCLUSION

Family businesses are unique and different from non- family businesses as they are socially embedded within the family. Institutional theory is a better way to understand a firm's embeddedness. For example, previous research focused on understanding how contextual pressure leads to similarities among family firms (DiMaggio & Powell, 1983b). The divergent nature of family firms operating in the industry has been largely ignored(Reay et al., 2015).

Institutional logic, on the other hand, allows understanding of how multiple logics co-exists within a field. The organisational field of the family firm consists of family logics, business logics and community logics. These logics can be utilised to understand the response of the firm to institutional rules and legitimacy concerns of actors within the field. Family businesses can select, adopt or adapt to these logics. However, what makes one family firm different from another is the set of family goals that the family expects to satisfy through the family business, and how such goals create a unique set of resources (familiness) for the firm. These unique resources can be a sustainable competitive advantage for the firm and determine its social and environmentally responsible behaviour.

The conceptual model highlights how family goals lead to an intention to engage in environmentally sustainable activities, and how familiness provide resources required for family firms implementing their environmental intentions. The conceptual model developed here is unique because it captures differences between environmental intention and environmental performance of the firm. As different families own different resources in terms of human capital, social capital and other resources, variations will arise in the actual environmental performance of the firm. Hence, familial logic and familiness is a way to explain the variations in the environmental approach of family firms.

FUTURE RESEARCH AREAS

Four future research directions were identified from the structured literature review. First, the theory of institutional and familial logics can be applied in multilevel analysis, including founders level (individual), family level, firm level and community level (stakeholders and other multiple logics in the field) (Thornton & Ocasio, 1999). Future researchers can empirically examine how familial logics explicate variations in sustainability initiatives in a multilevel analysis.

Secondly, the social and demographic changes that take place in the family and among family members influences their needs and expectations of the family firm. For example, the next generation of family members who have working experience in external business organisations might bring different environmental expectations to the family business. Therefore behavioural norms set by one generation of family members could evolve with the next generation. (Axelrod, 1986) .

Thirdly, future researchers can empirically review the strategies utilised by New World? family wineries attempts to overcome the disadvantage of not having any traditional winemaking strategies and long-held family norms. They can benefit from understanding various strategies followed by the New World countries, such as using the family itself, and their socio-emotional wealth as unique resources (inimitable) (Le Breton–Miller & Miller, 2006) to achieve lasting competitive advantage in the market.

Finally, future researchers can empirically study how familial logics can create a unique set of resources for the business and how such resources will create a sustainable competitive advantage for family firms. For example, long term orientation has been discussed frequently in the family business literature. However, most authors failed to establish a reliable means to assess one's transgenerational intention and the relationship with long term investment, such as investing in environmentally sustainable activities. In summary, As family business is treated heterogeneously, a wealth of knowledge will limit our understanding of variations within the social and environmental behaviour of family firms. Therefore this article yield a wealth of knowledge using familial logics as an explanation of the differences between family firms environmental intentions and environmental performances.

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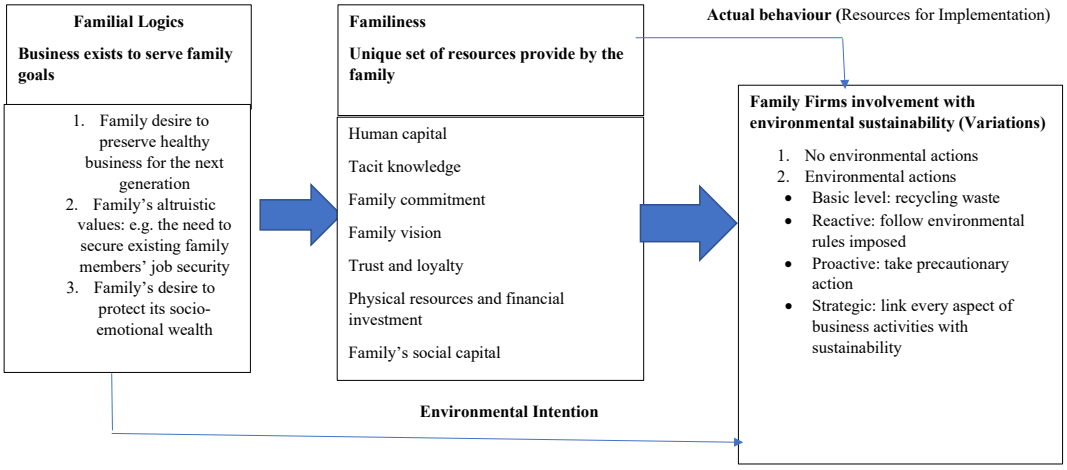
APPENDIXES

Figure 1: Conceptual Model Linking Familial Logics and Environmental Sustainability in Family Business



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Appendix 2

Table 1: Drivers of environmental responsibility in the wine industry

Main classifications	Sub-classifications	Items	Authors
Personal/ Individual/ Voluntary drivers		• Personal environmental values • Preferences • Satisfaction with profession • Managerial attitudes • Norms • Concern for the land, social responsibility, protection of agricultural land	(Gabzdylova et al., 2009b) (Marshall et al., 2005), (Cambra-Fierro, Hart, & Polo-Redondo, 2008; Dodds et al., 2013; Gilinsky, Santini, Lazzeretti, & Eyler, 2008)
Corporate drivers/ Internal Drivers	Internal/ Strategic	• Product quality • Leadership • Social responsibility • Size • Cost savings • Improved operations • Eco-labelling • Competitive advantage	Gabzdylova, B., Raffensperger, J. F., & Castka, P. (2009).;(Atkin et al., 2011; Berghoef & Dodds, 2011; Cambra-Fierro & Ruiz-Benítez, 2011; Dodds et al., 2013; Flint & Golicic, 2009; Pomarici, Vecchio, & Mariani, 2015)
	Market	• Customer demand • Competitive positioning (NZ Clean – Green) • Regulations/compliance requirements of crucial export destinations (for NZ, compliance with the US)	Gabzdylova, B., Raffensperger, J. F., & Castka, P. (2009).;(Schäufele, Pashkova, & Hamm, 2018)
Institutional drivers	Stakeholders(Marshall et al., 2005)	• Owners • Shareholders • Customers • Wholesales • International business • Employees	Gabzdylova, B., Raffensperger, J. F., & Castka, P. (2009)(Cordano, Marshall, & Silverman, 2010).;
	Local institutional network)	• Associations • Supplies • Community • Customers	Gabzdylova, B., Raffensperger, J. F., & Castka, P. (2009).;
	Regulations	• Compliance with current regulations • Pre-emption of future regulations • Overseas regulations/primary export market	Gabzdylova, B., Raffensperger, J. F., & Castka, P. (2009).;

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Perceived benefits of implementing an environmental management system(business case for sustainability)	Cost leadership Differentiation, competitiveness	• Resilience • Supply chain • leveraging the brand, telling a story, managing supply chain relationships, and experimenting with sustainability,	(Atkin, Gilinsky Jr, & Newton, 2012; Flint & Golicic, 2009; Golicic et al., 2017)

Appendix 3:

Table 2: Environmental drivers unique to family firms

	Familial logics	Findings	Author/s
1	Long-term orientation (LTO)	• Family ownership has a moderated–mediated relationship with PES; • Long-term orientation is a mediator. • The founder's transgenerational intention drove LTO. • LTO was positively associated with innovativeness, proactiveness, and autonomy, but negatively associated with risk-taking and competitive aggressiveness. • Commitment as a moderator. • LTO was a higher-order heuristic that, in matters of intertemporal choice, provided a dominant logic for decisions and actions.	Dou, Su, and Wang (2017); (Lumpkin & Brigham, 2011; Lumpkin, Brigham, & Moss, 2010)
2	Family commitment		
3	Transgenerational intention	• A significant driver of eco-certification adoption. • Moderated relationship with quality motivations. • Positive correlation with non – financial goals of the firm	Craig et al. (2014); Zellweger, Kellermanns, Chrisman, and Chua (2012)
4	Social embeddedness; Place - physical, emotional embeddedness	• The firm is profoundly embedded in the social community, the higher the environmental performance focus. • Better environmental performance than their non-family counterparts, particularly at the local level, local roots have a positive and highly significant impact on environmental performance for family-controlled firms.	Dekker& Hasso (2016) Shrivastava & Kennelly (2013); Berrone et al. (2010)
6	Socio-emotional wealth (SEW); identification with the family	• Given their SEW bias, family firms have a positive effect on social dimensions linked to external stakeholders, yet hurt internal social aspects. • To protect SEW, family firms engage in more proactive natural environmental responsibility activities and reporting.	Cruz, et al. (2014); Campopiano and Massis (2015); Cennamo, Berrone, Cruz, & Gomez–Mejia(2012); Newbert and Craig (2017); Berrone et al. (2010); Zellweger et al. (2012)
7	Family involvement (high, low)	• Dominant coalition influenced by the high involvement of families with lower relationship conflicts exhibits	Cabeza-García, Sacristán-Navarro, and Gómez-Ansón (2017); Uhlaner et al. (2012),

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		more positive attitudes towards proactive environmental response. • Engagement in firm philanthropy increases with family involvement in ownership.	Sharma and Sharma (2011); Campopiano, De Massis, and Chirico (2014); Berrone et al. (2010); Lumpkin, Martin, and Vaughn (2008),
8	Values of the founders; identification, commitment, and ecological motivation	• Environmental values were found to have a modest influence on ecologicsal advocacy (leaders' values were more eco-centric, open to change and self-transcendent)	Marques, Presas, & Simon, (2014) Fryxell and Lo (2003); Egri and Herman (2000); Gallo, (2004); Sánchez-Medina and Díaz-Pichardo (2017)

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'Getting agile about wicked problems: An outcomes framework for local council community development initiatives', in *Australian and New Zealand Academy of Management Conference 2019*, Cairns, Australia.

Stream 12 – Public Sector Management and Not-For-Profit

Delivered Session

Getting agile about wicked problems: An outcomes framework for local council community development initiatives

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Getting agile about wicked problems: An outcomes framework for local council community development initiatives

ABSTRACT: *This paper provides an outcomes framework for local councils attempting to resolve wicked problems. Learning from the adoption of agile approaches in the project management discipline, the framework's pillars take into account community development considerations, the strengths and weaknesses of community development's theory of change approach, and the twelve principles underpinning the agile manifesto. The framework is a systematic, iterative, evidence-based and highly participatory management approach. This participatory approach is proposed to be particularly important when working with vulnerable or disadvantaged communities, and the iterative nature avoids the futility of attempting to predict the behaviour of complex societal issues. While a variety of benefits are anticipated to be derived from the use of the framework, it is also acknowledged that it is a significant shift away from traditional, less participatory 'waterfall' approaches and this will not be without challenges.*

Keywords: Community development; local council; agile project management; wicked problems; outcomes management.

Local councils can be key actors in resolving wicked problems (Martin & Guarneros-Meza, 2013; Stephenson, 2011; Worrall, Collinge, & Bill, 1998). However, central to their ability to effectively contribute to their resolution is a management framework that takes into account contemporary community development discourse. This paper provides two contributions. From a theoretical perspective, we demonstrate how learnings from management studies, particularly project management, can inform an outcomes framework for use by local councils in addressing wicked problems. From a practice perspective, we describe the framework that Ipswich City Council is piloting to address wicked problems.

Wicked problems can be characterised by their unique, complex and multi-faceted nature, which means they are commonly ill-formulated and that quick fixes and conventional approaches are unlikely to result in a resolution (Conklin, 2005; Rittel & Webber, 1973; Yankelovich, 2015). Ipswich City Council, located west of Brisbane, experiences comparative disadvantage to other areas within Queensland (id the population experts, 2016). Given this situation, the council has ambitious strategic plans to improve the lives of its community members through addressing a variety of wicked problems (Ipswich City Council, nd).

Contemporary community development discourse highlights the importance of recognising that people are the experts in their own lives (ACOSS, 2018; Clayton & Vickers, 2018; Hogan, Rubenstein, & Fry, 2018; Kania & Kramer, 2011), and the requirement that the design and implementation of improvement programs does not in itself further exacerbate disadvantage, vulnerability, or result in further breaches of trust (Chino & DeBruyn, 2006; WACOSS, 2017). This has seen the emergence of a variety of concepts such as co-design and co-management, which reflect the need for empowerment, respect and inclusivity in addressing wicked problems (Boyle, Coote, Sherwood, & Slay, 2010; WACOSS, 2017). There are also concepts such as 'theory of change' that hypothesise in a visual format how wicked problems can be solved (Archibald, Sharrock, Buckley, & Cook, 2016; van Tulder, Seitanidi, Crane, & Brammer, 2016).

If we turn to recent learnings in the project management discipline, we see a shift away from waterfall project management methodologies toward agile methodologies. The waterfall approach attempts to predict and plan in advance how project outcomes may be achieved (van der Hoorn & Whitty, 2015). However, there is evidence that projects using an agile methodology are three times more likely to succeed than non-agile (Carilli, 2013). We use this learning from management studies to develop an outcomes framework that embraces the need for initiatives to remain connected and empower the communities they seek to support. It seeks to attain these ends while avoiding the need for long-term prediction of how outcomes will be achieved, which is arguably impractical given the complexity of wicked problems. This framework has three components: setting-up, action learning cycles, and closure.

LITERATURE REVIEW

As introduced above, local councils can often find themselves responsible for contributing to or managing the resolution of wicked problems (Martin & Guarneros-Meza, 2013; Stephenson, 2011; Worrall et al., 1998). As such, councils require repeatable management approaches that are sufficiently flexible, sensitive to the needs of the local community, and suited to the complex nature of the wicked problems they are attempting to address. We shall now summarise the theory of change, a key approach that has dominated community development, and highlight key considerations when working with communities. We will then introduce the evolution of project management and the concept of waterfall versus agile methodologies.

Theory of change: A common tool in community development

Theory of change is a tool that has become synonymous with community development initiatives and has been associated with wicked problems (for example L. Davies (2016); Ghate (2018). This visual tool emerged in the 1990s in the United States (Guarneros-Meza, Downe, & Martin, 2018; Ibrahim, El-Zaart, & Adams, 2017). Simplistically, an initiative's theory of change shows the relationship between inputs (planned changes) and outputs (forecasted outcomes); or in other words, why a particular change is expected to have the desired impact (Ibrahim et al., 2017). A more scientific description is a diagrammatic representation which hypothesises the foundational assumptions and causal relations of interventions and how they might generate intended results (Archibald et al., 2016; van Tulder et al., 2016). Theories of change are often associated with being the basis by which benefits of changes can be measured (Ibrahim et al., 2017) and hypothesise linkages between interventions and outcomes based on scientific evidence (van Tulder et al., 2016). Given their visual format, they are considered particularly useful in explaining to stakeholders how an initiative is going to work (Archibald et al., 2016). A theory of change is now required by many large international donor organisations as part of funding agreements (van Tulder et al., 2016).

However, the concept of theory of change is not without its critics. Some authors have described them as *conjectures* of change rather than theories of change (Archibald et al., 2016). This reflects a broader concern, that while based on scientific evidence, the data is drawn from simplified modelling or experiments that do not reflect the complexity of the situation and therefore may be of limited usefulness (van Tulder & Keen, 2018; van Tulder et al., 2016). There is also the inherent dichotomy of a theory of change as a simplified communication and collaboration tool that is required to represent the actual complexity of the situation (R. Davies, 2018). Additionally, there are processual issues, such as the development of a theory of change *after* initiatives have been implemented, which raises obvious credibility issues associated with using them as a means of evaluation (Guarneros-Meza et al., 2018). The issue of definitive attribution claims are seen as problematic in the theory of change approach as well (van Tulder & Keen, 2018). Finally, it has been observed that developing a comprehensive theory of change can be a time consuming process, which may not contribute to the actual delivery of change (van Tulder et al., 2016). To summarise, it appears that while commonly used for wicked problems, theories of change are recognised as having a variety of limitations.

Considerations when working with disadvantaged communities in the context of wicked problems

There is general recognition that wicked problems are best explored and resolved through genuine engagement and purposeful collaboration with those affected (Aulich, 2009; Cabaj & Weaver, 2016; Koski, Siddiki, Sadiq, & Carboni, 2016). Underpinning the participatory concepts of co-design (WACOSS, 2017) and co-production (Boyle et al., 2010) is the concept that people are experts in their own lives (WACOSS, 2017). However, genuine and effective efforts to engage and collaborate are not always easy to achieve (Flinders, Wood, & Cunningham, 2016; Sorrentino, Sicilia, & Howlett, 2018). We note here that co-design and co-production are not methodologies in and of themselves. They are principles to underpin the management of initiatives that could manifest in a variety of approaches to community development.

Genuine engagement and participatory processes require adequate time allowances with a long term view of the benefits to be gained (Wilks, Lahausse, & Edwards, 2015). Some vulnerable

communities have experienced prejudice and/or exploitation in the past, which hinders collaborations built on trust (Cochran et al., 2008) and highlights the need to ensure that power issues are addressed (Baum, MacDougall, & Smith, 2006; Evans, Hole, Berg, Hutchinson, & Sookraj, 2009). Trust is also underpinned by transparency (ACOSS, 2018), which may not always sit well with government (Wirtz, Piehler, Thomas, & Daiser, 2016), along with making decisions based on evidence and tracking progress against pre-agreed evaluation targets (ACOSS, 2018; Cabaj & Weaver, 2016). Further, prototyping and learning through action have been recognised as being important in community development initiatives (McLachlan, Hamann, Sayers, Kelly, & Drimie, 2015). For example, there are cases of action research methods (Evans et al., 2009; Hawkins et al., 2017) that have provided a methodological grounding for community development initiatives.

Learning from project management

We now turn to the evolution of project management for a source of learning regarding the challenges of local councils seeking to address wicked problems. The formalisation of the discipline in the 1980s and 1990s through the various institutes' bodies of knowledge saw the emergence of what we now term the waterfall project management methodology (Morris, 2013). Waterfall methodologies espouse a linear lifecycle with an initial focus on first planning, then controlling the project's execution against those baseline plans (for example, refer Generic description of a project lifecycle in Project Management Institute (2017, sec. 1.5)). There is an inherent assumption in the waterfall methodologies that the required project output is known, and that we can accurately predict and plan the requirements to achieve that (van der Hoorn & Whitty, 2015). There has been some discourse in the project management literature that highlights issues with using waterfall methodologies in the community development and wicked problem settings. Specifically, it has been argued that the waterfall approach can be overly technocratic, instrumental, and efficiency focussed, which does not allow for the participatory principles and flexibility necessary in community development (Cicmil & O'Laocha, 2016; Ika & Hodgson, 2014).

The institutes and their waterfall methodologies have been highly successful in professionalising the project management discipline (Farashah, Thomas, & Blomquist, 2019; Hodgson & Muzio, 2011; Morris, 2013). However, there has been ongoing dissatisfaction amongst practitioners and researchers regarding the efficacy of the waterfall methodologies for successfully delivering projects. Theoretically, we have seen this explored through the critical project management discourse (Cicmil & Hodgson, 2006) and the associated 'lived experience' agenda (Cicmil, 2006; Cicmil, Williams, Thomas, & Hodgson, 2006; Fernandes, Ward, & Araújo, 2015; Floricel, Bonneau, Aubry, & Sergi, 2014; Svejvig & Andersen, 2015). This has highlighted the inherent complexity and the political and social aspects of project work (Whitty & Maylor, 2009; Winter & Szczepanek, 2009). Discussion of concepts such as improvisation and bricolage (for example Klein, Biesenthal, and Dehlin (2015); Leybourne (2017)) highlight that upfront planning and its execution are being questioned.

In practice, this dissatisfaction with the waterfall methodologies has resulted in an increased adoption of agile methodologies. Evolving from software engineering, but now recognised as promising for other sectors (for example, Stare (2014); Timóteo Fernandes and Loforte Ribeiro (2010)), agile project management methodologies provide an iterative and customer-centric approach to delivering work. They embrace the complexity of project work (Dybå & Dingsøyr, 2008; Erickson, Lyytinen, & Siau, 2005) and provide an alternative to trying to predict and control project work according to initial plans (Cobb, 2015). In agile projects, there is a close connection between

the project team and end-user representatives at all stages of the project. This highlights the mutual investment of both the delivery team and end-users to the achievement of the deliverables, as well as their commitment to mutual learning. There is an acceptance that change will occur, and that the end-users may not be clear in their own minds about what they want at the start of the process (Beedle et al., 2001). Additionally, there is an understanding that the project team will improve their own internal processes as they progress through a project and that there will be transparent accountability for progress (Beedle et al., 2001).

RESEARCH INQUIRY

Derivation of research question

To hypothesise from our literature review, we see that theory of change, which has provided a foundation for much community development work, has similarities to the waterfall methodology now losing favour in project management. We also note that agile methodologies embrace many of the considerations relating to working with communities (genuine collaboration, transparency et cetera). As such, we ask the research question:

> *How can agile project management be adapted for local council use, to achieve outcomes related to wicked problems facing their communities?*

Course of action

We explore this research question through a conceptual study. Firstly, we will articulate the criticisms and strengths associated with theory of change and considerations when working with communities. Then we compare these with agile project management to illustrate how the adaptation of the latter may provide an effective management framework for local councils to address wicked problems. The comparison informs the development of an outcomes framework.

PROPOSED FRAMEWORK

Rationale and pillars for framework

The literature review highlighted the strengths and weaknesses of the prominent theory of change approach and the core considerations when undertaking community development initiatives. We also emphasised the parallels between waterfall project management and theory of change, along with their weaknesses, and proposed that agile project management may possibly be adapted to provide an outcomes framework for local councils to manage wicked problems.

In Figure 1, we propose a set of pillars for an outcomes framework for use by a local council to manage wicked problems. We derive these pillars by listing the strengths and weaknesses of the theory of change approach and the key considerations when running community development initiatives. The mapping of these considerations in relation to the pillars is shown through the use of colour coding. We then show how these pillars relate to agile principles through numeric linking. We note that the agile principles shown in Figure 1 have been slightly adapted to remove the software-centricity found in the original agile principles. For example, principle 1 indicates that "our highest priority is to satisfy the customer through early and continuous delivery of valuable software" (Beedle et al., 2001). We have changed this to "our highest priority is to satisfy the community through early and continuous delivery of benefits." We summarise that the proposed pillars demonstrate how the principles of agile can allow for mutually invested learning with impacted

community members, while providing a structured, iterative and evidence-based approach to managing wicked problems.

INSERT FIGURE 1 HERE

Introducing the framework

The framework has three major components; setting-up (SU), action learning cycles (AL), and closing (CL) (refer Figure 2). The references within the paper to abbreviations such as SU1 align with the activities in Figure 2. The setting-up component has three activities and would normally only be executed once per initiative. The first activity (SU1) is focussed on building a common understanding of the high-level outcomes to be achieved, any constraints associated with the initiative (including how it is to be managed), and the decision to manage the initiative with this outcomes framework. We recommend that the outcomes, constraints, and decision to use the framework are informed by prior consultation with experts and the community, and are documented. The next activity is establishing the steering group to run the initiative (SU2). This group should include members of the community impacted by the wicked problem and other stakeholders who will collectively direct and control the initiative, including council and subject matter experts. The final activity in setting-up is establishing how the group will direct and control the initiative, which is their 'ways-of-working' (SU3). This is a critical step as it establishes how decisions will be made, conflicts resolved, communications undertaken, expectations of the steering group members managed, and so on. Importantly, these ways-of-working need to be culturally appropriate and align with any constraints set by the council as part of SU1. We note that ways-of-working should be revisited at the end of each learning cycle (at least) to ensure that the governance being provided to the initiative is effective and culturally appropriate.

INSERT FIGURE 2 HERE

The action learning cycles closely align with the sprint concept associated with agile methodology. These cycles can continue indefinitely so long as they are working within the parameters set by SU1 and SU3. Considering both the agile principle and community development consideration of performance transparency, it is the agreed-upon targets and how to measure and communicate them that is central to the framework. AL1 and AL2 research, discuss and agree (within the ways-of-working) the changes that will contribute toward achieving the desired outcome (documented in SU1), the target results expected, and the ways of measuring and sharing them. The steering group drives both AL1 and AL2 and are the decision-makers for AL2. We see here an example of the agile principle of ensuring that the 'end-users' of the change are closely involved in specifying changes, setting expectations, and measuring (either directly or through oversight) whether they are achieved.

AL3 allows the local council to provide approval of the changes to be implemented, the details of those changes with consideration to the target results, and ways to measure the results. Following that, the change is implemented (AL4) and the results of the change measured against the target results (AL5). A decision is then made about whether the outcome of the initiative has been achieved and/or whether closure is required. If neither of these conditions are met, then the next action learning cycle begins. These iterations, which the steering group govern according to SU3, provide a structure for managing the initiative. They enable the setting and reviewing of targets but

without requiring a long-term forecast of how changes will affect the wicked problem, which is normally associated with the theory of change. In addition, central to the components of the action learning cycle is the actual taking of action, learning, and incorporating this into future action. This is in contrast to the theory of change and waterfall approach which dedicates significant time to planning a comprehensive change approach before it is implemented.

The closing component is invoked when either a constraint from SU1 has been reached, the outcome has been achieved, or there is some other unexpected need for closure. The first activity (CL1) in closure reflects on how the collated results from the implemented changes have contributed to achieving (or not) the outcome as set by SU1, and any other learnings to improve the management of future initiatives. The second activity (CL2) provides the opportunity for formal closure activities associated with budgeting, reporting, and other regulatory matters.

DISCUSSION

We shall now briefly consider some characteristics of the outcomes framework, which while arguably important, are likely to prove challenging. Firstly, the devolution of governance power for an initiative to a steering group constituted of community members is a significant shift for Australian government entities (Hogan et al., 2018). All government organisations are accountable for their deliverables. However, in the spirit of genuine engagement and empowerment, this framework devolves some accountability for addressing wicked problems to the community members. While this has advantages in terms of ensuring the vulnerable and disadvantaged are given a voice, it is likely that if initiatives are not successful, the council is exposed in terms of risk. Although, it is arguable that the community is most at risk through sustainment of the wicked problem. As Flinders et al. (2016) states, co-production (which the operation of the steering committee aligns with) can be characterised as time-consuming, inherently unstable, and different to established ways of working. The devolution of governance power is a significant shift to traditional decision-making structures (Hogan et al., 2018). The outcomes framework somewhat addresses this challenge through activity SU1, which enables the council to establish constraints in how the initiative is run. All that aside, to reap the benefits of an empowered community, some risk is inevitable. As per King and Spencer (2017), sincere engagement with the community is an important practice if genuine gains for the community are to be achieved.

There is another challenge related to the methodological maturity or capabilities of the steering group members. While community development staff within a local council may have program management experience, we cannot assume this for other members of the steering group. Using the outcomes framework undoubtedly provides an opportunity for building community member capability, which assists in achieving emancipatory aims. However, for this to occur, the necessary time and resourcing needs to be considered. This is not necessarily easy to secure in fiscally constrained environments, where elections are held frequently, and there a consequentially significant time pressure.

Our final challenge for the outcomes framework is the absence of a predictive model, which is present in theory of change and waterfall planning. Humans are inclined towards causality and predictability, even if it lacks a factual basis (Matute et al., 2015). Yet the ongoing failure of projects throughout the world provides evidence that long-term and detailed planning do not necessarily equate to successful outcomes. As we have introduced previously, wicked problems are particularly complex and the emergent nature of their elements is likely to elude accurate planning. Even the definitive attribution of causality to a particular implemented change is problematic. As such, the outcomes framework proposes an iterative approach and learning by doing, where the target results

need to be carefully selected as signs to the desired outcomes. We expect that this absence of predictive long-term planning toward wicked problem resolution will challenge normal government operating approaches. However, we also posit that, in the case of wicked problems, such predictive long-term plans are more likely tools of impression management than accurate indicators of how the outcome will ultimately be achieved.

CONCLUSION

We acknowledge the limitations of our proposition, given that at the time of writing the outcomes framework has not been empirically tested, but believe a series of contributions have already been made through the development of the framework. Firstly, the outcomes framework provides local councils with a management approach for initiatives aiming to resolve wicked problems. We would also anticipate that this framework may be suited to place-based and collective impact initiatives, where a program is established to leverage the strengths of local communities. The framework takes into account engagement considerations from the community development literature and attempts to mitigate the weaknesses of the theory of change approach. We have also demonstrated how agile as opposed to waterfall project management can inform the management of community development initiatives.

We make a theoretical contribution by showing how learnings from the project management discipline can be used to inform community development practice. There is a growing recognition in project management that predictive approaches such as waterfall do not guarantee success. By contrast, iterative approaches that engage closely with those who will use the project deliverables and learn from taking action are advantageous. We propose that such recognition is particularly important in terms of wicked problems. However, we also acknowledge that this framework is unlikely to provide a silver bullet in resolving wicked problems. As explained in our discussion, while it addresses limitations with extant approaches it also raises new challenges that cannot be overlooked. However, in the spirit of an agile approach, this outcomes framework should be considered a starting point to trial, and then make changes as required based on the feedback of those using it.

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FIGURES

Figure 1: Conceptual foundation of Outcomes Framework

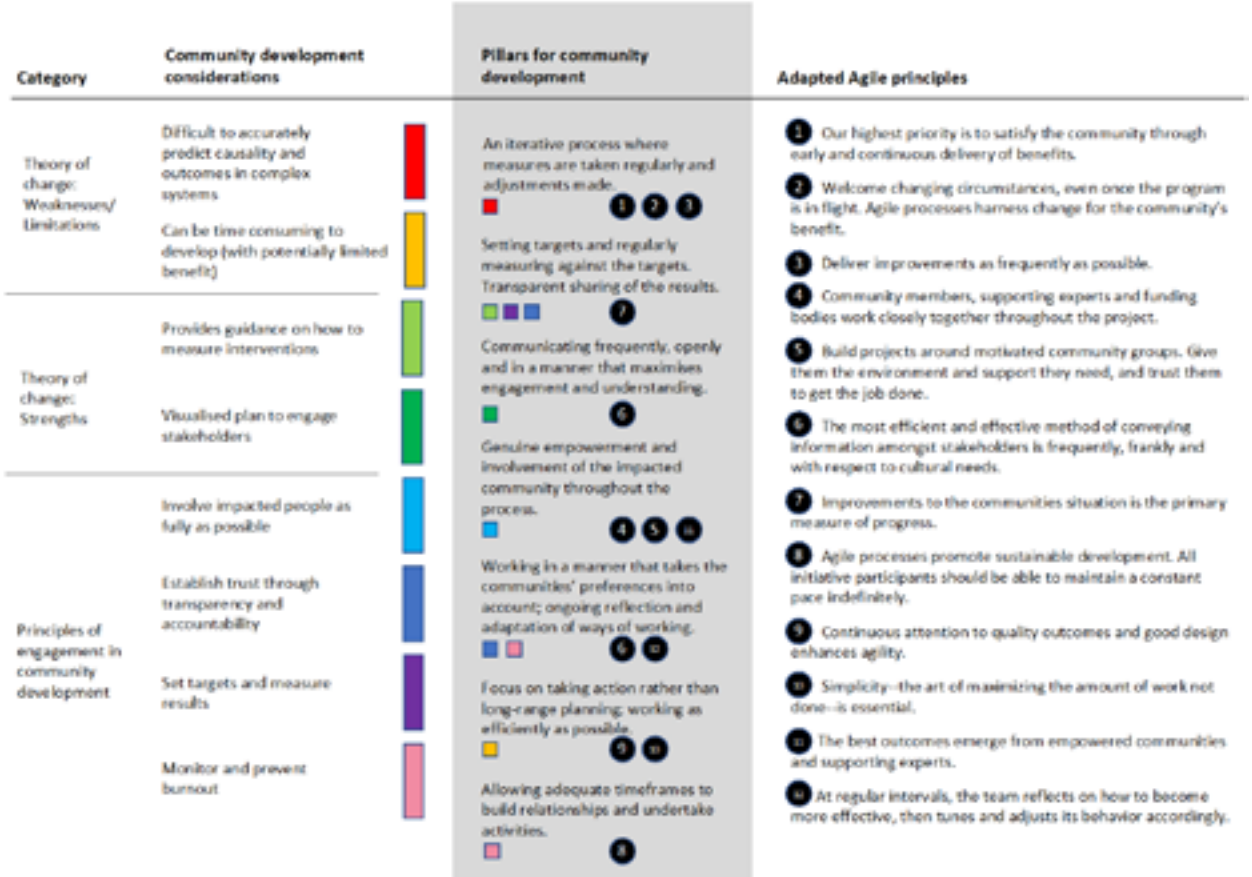

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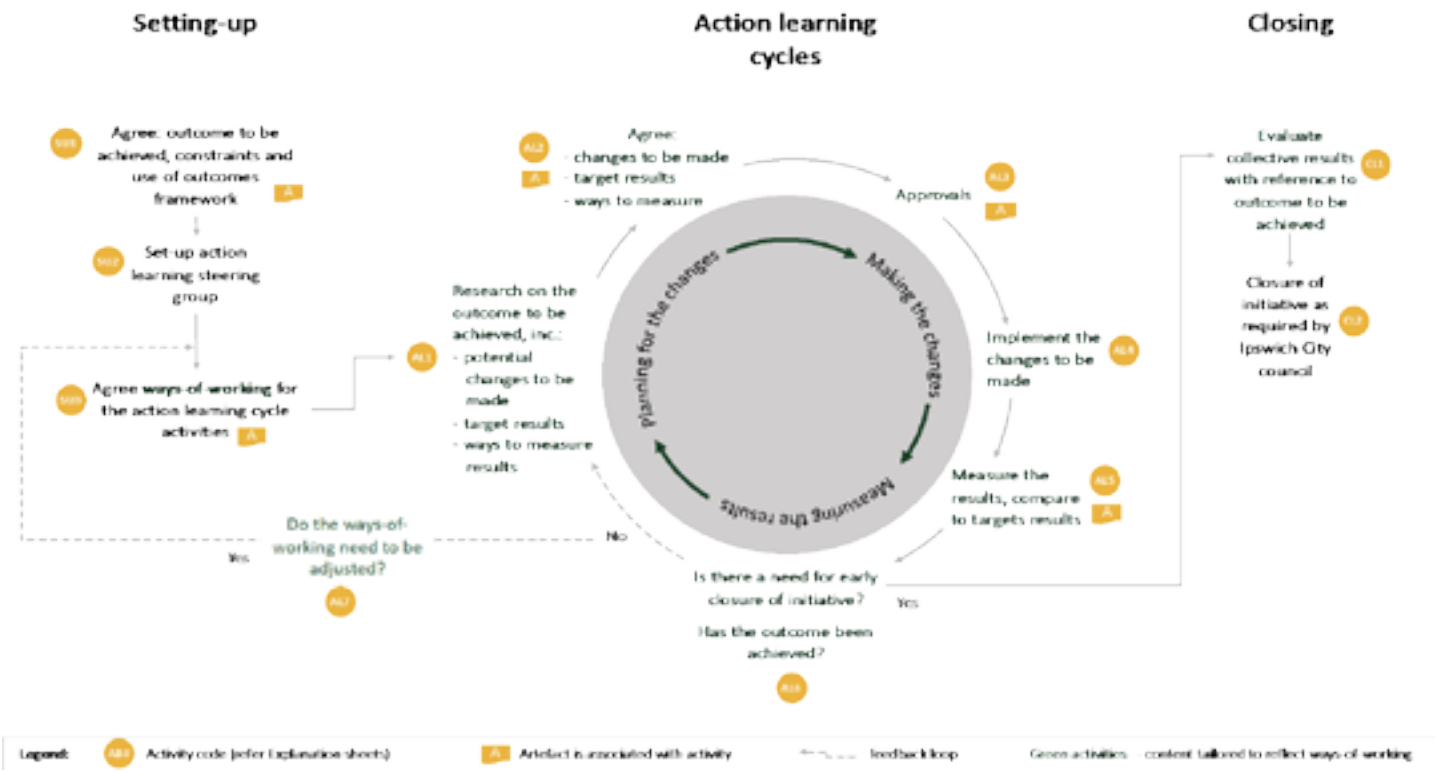
Figure 2: Outcomes Framework



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THE INTERNATIONAIZATION AND VOLUNTARY ADOPTION OF INTERNATIONAL ACCOUNTING STANDARDs OF MNEs

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Abstract

This paper investigates the relation between a degree of internationalization and voluntary adoption system of IFRS and US GAAP using of Japanese MNEs. We focus on co-existence of voluntary IFRS adoption and US GAAP in Japanese corporations post March 2010 when Voluntary IFRS adoption began. First, we find that both of IFRS and US GAAP adoptions are progressed in firms with higher degree of internationalization. Second, foreign shareholders are not positively moderated to the positive relation between IFRS adoption and internationalization, but positively moderated to the positive relation between internationalization and US GAAP. This suggests that Japanese MNEs care about North-American regional specific approach and foreign shareholders care more about stakeholders of North-American region.

Keywords: IFRS; Internationalization; MNEs; US GAAP; Stakeholder Theory

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1. Introduction

Internationalization is an important factor for academic research to analyze international convergence (Aguilera and Jackson, 2003). The International Financial Reporting Standard (IFRS) been adopted by many countries because IFRS is believed as a single set of international global standard of enhancing comparability of financial reporting (Doupnik and Riccio, 2006; Doupnik and Perera, 2012). Especially in European countries, mandatory adoption of IFRS has been implemented since 2005. On the other hand, there might be lack of theoretical literatures of IFRS adoption (Hope, 2003). Literatures of corporate governance tend to assume that national institutional factors explain firm-level of corporate governance practice (Aguilera and Jackson, 2003; La Porta et al., 2000). In fact, the national level of IFRS adoption depends on the different level of institutional background (Judge et al., 2010). Therefore, the adoption of accounting standard has been analyzed by a limited number of adopted countries (Ball et al., 2003) and has generally not been focused on the "voluntary" adopted countries (Hope et al., 2006).

The aim of this study is to clarify the logic of adoption choice related to multinational enterprises (MNEs): IFRS or US Generally Accepted Accounting Principles (GAAP). MNEs tend to face different corporate governance practice among different countries which they engage in (Kostova et al., 2008). For the process of internationalization, domestic firms have to attract foreign shareholders who have different national corporate governance logics (Aguirera et al., 2018). As a result, firm level intentional deviation from standard set of corporate governance logics may be occurred in MNEs (Aguirera et al., 2018). As the competition for capital has reached global proportions, nations are willing to "trade" their domestic standards for international standards like IFRS or US GAAP.

Most developed countries excluding of U.S. have been adopted to IFRS but Japanese firms have been given a choice of adopting either IFRS or US GAAP since March 2010. One reason of this difference may be arising from political conflicts related to mandatory IFRS adoption in Japan (Tsunogaya et al., 2015). The other reason is that some of Japanese MNEs like Toyota or tend to adopt U.S. GAAP for the capital acquisition in U.S. financial markets. In addition, some MNEs have region-specific scopes and consider more about stakeholders in North American regions. Thus, Japanese MNEs decision of adopted to IFRS or US GAAP might be affected by their stakeholders like foreign shareholders or their foreign subsidiaries.

In this paper, we analyze the determinants of voluntary adoption of IFRS or US GAAP in Japanese MNEs. Our empirical findings are summarized as following three points. First, we find that voluntary IFRS and US GAAP adoption is progressed in firms with higher internationalization degree. Second, the positive relation between voluntary IFRS adoption and internationalization is negatively moderated by foreign shareholdings. Third, the positive relation between voluntary US GAAP adoption and internationalization is positively moderated by foreign shareholdings. These findings suggest that Japanese MNEs which have North America regional specific approach and US GAAP is favored by various stakeholders including of foreign shareholders in these firms, consistent with stakeholder-oriented corporate governance in Japan (Descender et al, 2016).

The rest of this paper is organized as follows. Section 2 presents our hypotheses development. In section 3, we explain about our data and descriptive statistics. Section 4 induces and interprets the empirical results, Finally, we discuss our conclusion in Section 5

2. Hypotheses Developments

For most industrialized countries, domestic accounting standards have been built over time. As the global competition has been progressed in nations, they are willing to "trade" their domestic standards for a more commonly used set (e.g., IFRS or US GAAP). Post the European mandatory adoption of IFRS at 2005, emerging countries tend to start adopting IFRS in their economies. This is because the "high quality" of adopted IFRS is able to improve the "low quality" of their domestic accounting standards. On the other hand, developed countries with perceived high quality domestic accounting standard may have a difficulty of adopting IFRS to alter their domestic accounting standards.

There might be debates about adoption of IFRS in developed countries. In some countries like Japan and US, mandatory adoption of IFRS are not permitted. In Japan, the Business Accounting Council (BAC) of Japan decided to start the voluntary adoption of IFRS post March 2010 for consolidate financial statement of listed companies. The political reason why voluntary IFRS adoption has been realized is summarized in Tsunogaya et al. (2015). Followed as their study, the conflicts between "Conservatives" who insist "cautious convergence approach" in which disparities between Japanese generally accepted accounting principles (GAAP) and IFRS and "Liberalists" (Kokusai-ha). who demand the "direct adoption approach" in which IFRS should replace Japanese GAAP to enhance international comparability of financial reporting.

Under these situation, Japanese MNEs face two choices of adopting either IFRS or adopting US GAAP to convince their stakeholders like foreign shareholders or their foreign subsidiaries. Japanese corporate governance is known as stakeholder-oriented systems (Descender et al., 2016). Due to the international diversification of Japanese MNEs, pressures from foreign stakeholders might be enhanced to introduce a single set of Accounting Standard. Hassan (2008) found that external coercive pressures from foreign aid provided by the IMF were influential in Egypt's moving toward the adoption of IFRS standards. This suggests that foreign pressures tend to be a driver of introducing IFRS.

Hypothesis 1

International diversified MNEs tend to adopt a single set of Accounting Standard like IFRS or US GAAP.

MNE's internationalization decision depends on their region's formal institutions (Arregle et al., 2013). MNEs use region-bound firm specific advantages across a region when they decide to internationalize (Rugman and Verbeke, 2004) In fact, the adoption of US GAAP by French firms were progressed in the 1970s because the global economy was dominated by the USA at the time. (Touron, 2005). This suggests that internationalized firms care about the external coercive pressures. Thus, MNEs decisions like an adoption of international accounting standards would depend on their expanded region's formal institutions. In other words, these "semi-globalization" perspectives of MNEs suggest that Japanese MNEs with many US subsidiaries tend to adopt US GAAP rather than IFRS.

Japanese internationally diversified firms tend to consider more about north American area's globalization. After the global financial crisis, the increase of Japanese firms' export to US reaches to 66 % and it occupies 6% of export values to US (JETRO, 2018). This suggests that the important target of Japanese MNEs is U.S. stakeholders. Thus, foreign shareholders

of Japanese MNEs are interested in adopting to US GAAP rather than IFRS. Thus, we construct following Hypothesis 2.

Hypothesis 2

The positive relation between International diversified MNEs and IFRS adoption is negatively moderated by foreign shareholdings.

3.Data

3.1.Sample Selection and Variables

We focus on Japanese firms which can choose domestic GAAP or the other accounting such as IFRS and US GAAP after March 2010 when the voluntary adoption of IFRS has begun for Japanese listed firms. We select data from non-financial MNEs listed in the stock exchange from 2010 to 2017 to test our hypothesis. To construct our data, we use the financial accounting data, corporate ownership data, and international diversification. At first, we gather financial data and corporate ownership data from the NPM database which are provided by Data Solution Inc. In addition, we collect data of Japanese firm's internationalization from annual publication of Japanese Overseas Investments, which are provided by Toyo Keizai Inc.

As for our sample selection procedure, we drop financial industry firms because they are differently regulated by non-financial industry. In addition, we drop samples of industry without IFRS or US GAAP adoption[1]. Some Industry in Japan have not been adopted with IFRS. Thus, we eliminate our sample into these industries. In addition, we drop samples which do not disclose financial accounting data. Our final sample comprises of 8,121 firm-year observations. The definition of our variables are summarized as in Appendix A.

3.2. Dependent Variables

To reveal determinants of adoption of International Accounting Standards in Japanese firms, we collect the information about which types of financial accounting standards are selected Japanese domestic GAAP, IFRS, and US GAAP in each year. Our Hypothesis 1 predicts that international diversification encourages firms to adopt a single set of Accounting Standard like IFRS. Hence, we generate a dummy variable of IFRS adoption which equals to one when firms adopt IFRS, otherwise zero. We also make a dummy variable of US GAAP adoption which equals to one when firms adopt US GAAP, otherwise zero.

[1] Industries without IFRS are other products; warehousing and harbor transportation; construction; fishery, agriculture, and forestry; marine transportation; air transportation; pulp and paper; textiles and apparels; mining; and electric power and gas. In addition, industries without US GAAP adoption are glass and ceramics products; rubber products; services; real estate; pharmaceutical; retail trade; oil and coal products; precision instruments; metal products; iron and steel; land transportation; and nonferrous metals.

3.3.Independent Variables

To examine the relationship between IFRS adoption and internationalization degrees, we adopt three proxies of international diversification to analyze the determinants of IFRS or US GAAP adoption. Following to previous studies, (David et al., 2008; Delios and Beamish, 1999; Lu and Beamish, 2004), we measure degree of international diversification proxy variables using of Japanese Overseas Investments database (Toyo Keizai, Inc.). The first variable is measured as the total number of overseas subsidiaries. The second variable is calculated by the total number of countries in which a firm has overseas subsidiaries. The third variable is an index of international diversification which combined the first and second variables followed as previous studies (David et al., 2008; Lu and Beamish, 2004).

We next use ownership variables to consider about their influence towards voluntary adoption of IFRS in internationalized firms. We also use financial ownership to consider about their influence. Financial ownership (*FINA*) is measured as shares of financial institution divided by total outstanding shares. Foreign ownership (*FORE*) is measured as foreign shareholdings divided by total outstanding shares. *INSIDE* is inside director ownership measured as board ownership divided by total outstanding shares.

We control for firm characteristic variables. *SIZE* is defined as logarithm of total asset. As for corporate performance measures, we adopt Return on total assets (*ROA*) and Return on equity (*ROE*). *LIQUIDITY* is measured as cash asset to total asset. *INTER* is a dummy variable of internationalization that equals to 1 if the firm has overseas subsidiaries, otherwise equals to 0. We control for financial healthiness (*LEV*) measured as total debt to equity. In addition, *LOANS* is measured as loan to total asset. *AGE* is firm age after going public and *LOSS* measured by last year's loss reporting. *ABS_OPCF* is the absolute value of operating cash flow to lagged total assets. *GEARING* means long-term debt to common equity. We adopt the number of geographic segments of the firm (*NOGEOSE*) to control for the other internationalization features. *EQU_GRO* is current year's equity divided by prior year's equity. *BIG_N* is a dummy variable that equals to 1 if the firm is audited by a Big four audit firm (i.e., EY, Deloitte, KPMG, and PwC), otherwise equals to 0. *AUD_CHA* means a dummy variable of change of audit firm that equals to 1 if the firm changes the audit firm. We adopt market share of auditor firms (*INDSPEC*) as percentage of all audit clients' sales in the firm's industry that are clients of the auditor of the firm.

3.4.Descriptive Statistics

We firstly introduce the year and industry distribution of firms which adopt IFRS, US GAAP, and Japanese (domestic) GAAP in Table 1. In panel A of Table 1, we find a trend that firms with Japanese (domestic) GAAP adoptions have been decreased. On the other hand, firms with IFRS adoption have been increased and reached to 58 in the year 2017. In addition, firms with US GAAP adoptions have been gradually decreased. Using panel B of Table 1, we find that the bias of industry and adopted accounting standards are not observed. IFRS adoptions are progressed in Electric Appliances, Wholesale Trade, Transport Equipment, and Information and Communication. These industries tend to be considered as export-intensive industries. Thus, transparency of accounting standards seems to be demanded by their stakeholders in foreign countries. On the other hand, many electric Appliances have been adopted US GAAP during 2017. This suggests that their strong exporting relations between US would affect their US GAAP adoptions.

Insert Table 1

We next introduce the descriptive statistics of this paper in Table 2. Table 2 presents that the mean of SUB (: # of Foreign Subsidiaries) is about 12 in average, the average of COUNTRY (: # of countries which have oversea subsidiaries) is about 5.5 and INT_DIV is about 0.05 in average in Table 2. This is consistent with previous studies because INT_DIV in Japanese MNEs was around 0.04 to 0.07 (David et al., 2008; Lu and Beamish, 2004). As for ownership structure variables, we find that the average of financial institutional ownership (FINA) is 0.19 and that of foreign ownership (FORE) is about 0.23 in average. This is consistent with the recent increase of foreign shareholder presence in Japanese corporations (Descender et al., 2016). In addition, inside ownership (INSIDE) remains 0.05 in average which is consistent with previous studies (Sakawa et al., 2012). In addition, firm size (SIZE) is about 10.96 which is almost same as in previous studies. The average of ROA is about 0,03 and that of ROE is about 0.65. In addition, cash liquidity (*LIQUIDITY*) is about 0.18 in average and higher than 1990s (David et al., 2008). The dummy variable of internationalization (*INTER*) is 0.75, which shows about 75% of firms have overseas subsidiaries. Financial healthiness variable measured as *LEVERAGE* is about 9.7 on average and which is smaller than 1990s (David et al., 2008). The average ratio of loan to total asset (*LOAN*) is 0.12. The average of *ABS_OPCF* is less than 0.1. Long-term debt to common equity (*GEARING*) shows about 2.9 in average. The number of geographic segments of the firm (*NOGEOSE*) shows 0.07 in average, *EQU_GRO* is about 1. The mean of *BIGN* is 0.75, which means about 75% firms are audited by a Big Four audit firm, same with previous studies (Sakawa and Watanabel, 2018). The dummy variable of change of audit firm (*AUD_CHA*) is only 0.03. market share of auditor firms (*INDSPEC*) is about 21%.

Insert Table 2

Table 3 shows the correlation of each variables. We find that IFRS adoption dummy and US GAAP dummy are significantly positive with three proxy measures of internationalization variables. This is consistent with our Hypothesis 1. In addition, IFRS adoption and US GAAP adoption is significant and positive with foreign shareholders. This implies that foreign shareholders are helpful to adopt international accounting standards like IFRS or US GAAP.

Insert Table 3

We also discuss about the mean differences of firms among them with IFRS adoption (B), US GAAP adoption(C), and Japanese GAAP-adoption (A) in Table 4. Table 4 shows that a degree of internationalization is the highest in firms with IFRS adoption and lowest in firms with Japanese GAAP adoption. The mean differences of internationalization degree between firms with IFRS adoption and US GAAP adoption is not significant. However, the mean difference between IFRS or IFRS adopted firms and Japanese GAAP adopted firms is significant. This implies that internationalized firms demand international accounting standards like IFRS or US GAAPs, supporting our Hypothesis 1. As for ownership structure, financial and foreign shareholdings is the highest in firms with US GAAP and lowest in them with Japanese GAAPs. This also implies that foreign shareholders tend to held a shares of internationalized firms. In addition, the mean difference of foreign shareholdings between firms with US GAAP and IFRS adoption is significantly gained. This implies that foreign shareholders in Japanese corporations care about North-America regional specific strategy of Japanese MNEs.

Insert Table 4

4. Estimated Results

Table 5 presents the estimated results of the relation between IFRS adoption and three measures of internationalization. Using Table 5, we find that IFRS adoption is progressed in firms with higher degree of internationalization. This result is consistent with our Hypothesis 1. In addition, we find that foreign shareholders are also positive to IFRS adoption for model (A) and (C). On the other hand, financial ownership is significant and negative to the adoption of IFRS. This suggests that financial stockholders consider more about the effective bank monitoring using of Japanese GAAP financial reporting.

Insert Table 5

Table 6 next describes the estimated results of the relation between US GAAP adoption and internationalization. Table 6 shows that US GAAP adoption is also positive to all three measures of internationalization. This result is also consistent with our Hypothesis 1. As for ownership variables, we find that foreign ownership is significant and positive to US GAAP adoption. We additionally find that financial ownership is significant and positive to US GAAP. This finding implies that bank monitoring would have more experience of US GAAP rather than IFRS and their attitudes towards adoption US GAAP and IFRS would be differently characterized.

Insert Table 6

Table 7 presents the results of moderating roles of foreign shareholders towards IFRS adoption. In Table 7, We find that foreign shareholders are negatively moderated to the positive relation between IFRS adoption and internationalization, consistent with Hypothesis 2. This implies that IFRS adoption is not necessarily progressed by the pressure of foreign shareholders in Japanese MNEs. In other words, foreign shareholders rather favor of US GAAP adoption in Japanese MNEs. This might be related to the fact that Japanese MNEs regional-specific approach of foreign expansion. In fact, foreign expansion of Japanese MNEs in north America region has been significantly soared up (JETRO, 2018). These semi-globalization approach would affect the adoption of IFRS in Japanese MNEs.

Insert Table 7

Table 8 depicts the estimated results of moderating roles of foreign shareholders towards US GAAP. In Table 8, foreign shareholders are positively moderated to the positive relation between US GAAP adoption and internationalization. This result implies the different attitude of foreign shareholders towards IFRS and US GAAP adoptions in Japanese MNEs Furthermore, US GAAP has been used as the financial reporting of oversea subsidiaries in American Depositary Receipts (ADR) firms. Thus, foreign shareholders have understood the fairness of Japanese subsidiaries in ADR section and they would be careful about the adoption of IFRS in Japanese MNEs.

Insert Table 8

5. Conclusions

This paper investigates the relation between internationalization and international accounting standards using of Japanese MNE samples during 2010-2017. Our results imply that Japanese internationalized MNEs tend to adopt either IFRS or US GAAP. Furthermore, our results reveal that foreign shareholders negatively moderate the positive relation between IFRS adoption and internationalization degree. On the other hand, they positively moderate the positive relation between US GAAP adoption and internationalization. These findings are interpreted that 'semi-globalization' approach of foreign internationalization in Japanese MNEs tend to be care more about stakeholder of North American regions. Thus, we interpret that foreign shareholders have different attitudes towards the adoption of IFRS and US GAAP in Japanese internationalized MNEs.

The perspectives of 'semi-globalization' approach or institutional background of Japanese accounting standards: Co-existence of IFRS and US GAAP would affect the different attitude of foreign shareholders towards the adoption of IFRS and US GAAP. Institutional background affects the formal factors like accounting standard adoptions and incentives of the society (North, 1990). Thus, the different attitudes of foreign shareholders and regional-specific behaviors of Japanese MNEs would be interactively affected each other. In addition, Japanese corporate governance is known as stakeholder-oriented systems (Descender et al., 2016). Our results can be interpreted that Japanese MNEs would care more about North-America region's stakeholders and this thought is shared with foreign shareholders.

There might be theoretical implication about our study. First, our findings provide an opportunity for comparison of co-existence international accounting set of "voluntary" adopted country like Japan. This study can reveal how internationalized MNEs and their shareholders respond to co-existed voluntary accounting standards like IFRS and US GAAP in MNEs. Second, the results that foreign shareholders affect to adopt US GAAP rather than IFRS would be due to corporate governance deviance perspective (Aguilera, 2018). In other words, some MNEs tend to intentionally deviate of standard set of Japanese GAAP or IFRS adoption and instead adopt US GAAP to attract foreign shareholders who understand regional specific behavior of these MNEs.

Our paper has been several limitations. First, the policy debates about mandatory adoption of IFRS in Japan has not been reached to conclusion. We cannot predict how Japanese MNEs respond to the change of Japanese adoption policy in the future. Second, this paper does not reveal which accounting standard has improved accounting quality of financial reporting in Japanese MNEs. There might be valuable tasks for future researches.

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Appendix A

Definitions and measurements of the variables.

Variables	Definitions
Dependent variables	
IFRS	Dummy variable that equals to 1 if the firm adopts IFRS, otherwise equals to 0;
US_GAAP	Dummy variable that equals to 1 if the firm adopts US GAAP, otherwise equals to 0;
Test variables	
SUB	The total number of overseas subsidiaries that firm has;
COUNTRY	The total number of countries in which the firm has overseas subsidiaries;
INT_DIV	The average of the ratio of *SUB* to the maximum value of *SUB* and the ratio of *COUNTRY* to the maximum value of *COUNTRY*.
SUB_dummy	Dummy variable that equals to 1 if the value of *SUB* is higher than the upper quartile of *SUB*, otherwise equals to 0;
COUNTRY_dummy	Dummy variable that equals to 1 if the value of *COUNTRY* is higher than the upper quartile of *COUNTRY*, otherwise equals to 0;
INT_DIV_dummy	Dummy variable that equals to 1 if the value of *INT_DIV* is higher than the upper quartile of *INT_DIV*, otherwise equals to 0;
Control variables	
FINA	Percentage of ownership of financial institutions;
FORE	Percentage of ownership of foreign investors;
INSIDE	Percentage of ownership of management and board members;
SIZE	Natural log of total assets;
ROA	Return on total assets;
ROE	Return on equity;
LIQUIDITY	Ratio of cash assets to total assets;
INTER	Dummy variable that equals to 1 if the firm has overseas subsidiaries, otherwise equals to 0;
LEV	Ratio of total debt to equity;
LOANS	Loans divided by total assets;
AGE	The number of years that the firm has been listed on the stock market;
LOSS	Dummy variable that equals to 1 if the firm has a net loss, otherwise equals to 0;
ABS_OPCF	Absolute value of operating cash flow to lagged total assets;
GEARING	Ratio of long-term debt to common equity;

Definitions and measurements of the variables. (Continued)

Variables	Definitions

NOGEOSEG	Number of geographic segments the firm is operating in;
EQU_GRO	Current year's equity divided by prior year's equity;
BIG_N	Dummy variable that equals to 1 if the firm is audited by a Big Four audit firm (i.e., EY, Deloitte, KPMG, and PwC), otherwise equals to 0;
AUD_CHA	Dummy variable that equals to 1 if the firm changes the audit firm;
INDSPEC	Percentage of all audit clients' sales in the firm's industry that are clients of the auditor of the firm.
Industry FE	Industry dummy variable that equals to 1 if the firm is represented in the specific TSE New Industry Code category, otherwise equals to 0;
Year FE	Year dummy variable that equals to 1 if the year falls within the specific year category, otherwise equals to 0.

TABLE 1

Penal A: Distribution by year

	Full sample	JP_GAAP	IFRS	US_GAAP
Year	Frequent	Frequent	Frequent	Frequent
2010	1,040	1,012	1	27
2011	1,036	1,006	3	27
2012	1,035	1,003	5	27
2013	1,038	1,004	12	22
2014	1,027	978	31	18
2015	991	936	39	16
2016	988	920	53	15
2017	966	893	58	15
Total	8,121	7,752	202	167
CAGR		-1.8%	78.6%	-8.1%

Penal B: Distribution by industry

	Full sample		JP_GAAP		IFRS		US_GAAP	
Industry	Frequent	%	Frequent	%	Frequent	%	Frequent	%
Chemicals	1,190	15	1,165	15	17	8	8	5
Wholesale Trade	1,687	21	1,627	21	48	24	12	7
Information and Communication	1,233	15	1,183	15	22	11	28	17
Machinery	1,210	15	1,178	15	11	5	21	13
Transport Equipment	693	9	638	8	43	21	12	7
Electric Appliances	1,514	19	1,380	18	56	28	78	47
Foods	594	7	581	7	5	2	8	5
Total	8,121	100	7,752	100	202	100	167	100

Table 1 presents the distribution, respectively, by year and industry. Panel A presents the annual descriptive statistics of the sample over 8 years. Panel B presents an industry breakdown of the sample on the basis of the TSE codes. See Appendix A for definitions and measurements of the variables.

TABLE 2

Descriptive Statistics

	Full sample				
Variable	Mean	Standard Deviation	Q1	Median	Q3
SUB	12.10	36.05	1.00	4.00	11.00
COUNTRY	5.50	7.74	1.00	3.00	7.00
INT_DIV	0.05	0.08	0.01	0.03	0.07
FINA	0.19	0.13	0.09	0.17	0.28
FORE	0.23	0.25	0.03	0.14	0.37
INSIDE	0.05	0.09	0.00	0.01	0.04
SIZE	10.96	1.68	9.88	10.79	11.90
ROA	0.03	0.17	0.01	0.03	0.05
ROE	0.65	8.16	0.14	0.37	0.77
LIQUIDITY	0.18	0.13	0.09	0.15	0.24
INTER	0.75	0.43	1.00	1.00	1.00
LEV	9.67	55.20	2.72	5.38	9.62
LOANS	0.12	0.13	0.02	0.09	0.19
AGE	34.32	20.14	17.00	28.00	53.00
LOSS	0.10	0.30	0.00	0.00	0.00
ABS_OPCF	0.07	0.06	0.04	0.06	0.10
GEARING	2.94	29.28	0.54	1.31	2.69
NOGEOSEG	0.07	0.62	0.00	0.00	0.00
EQU_GRO	1.01	0.19	1.00	1.00	1.00
BIGN	0.75	0.43	1.00	1.00	1.00
AUD_CHA	0.03	0.18	0.00	0.00	0.00
INDSPEC	0.21	0.17	0.03	0.20	0.38

Note: N= 8,121. See Appendix A for definitions and measurements of the variables.

TABLE 3

Correlation Matrix

		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23
1.	IFRS																							
2.	US_GAAP	-0.02 *																						
3.	SUB	0.37 ***	0.27 ***																					
4.	COUNTRY	0.35 ***	0.31 ***	0.79 ***																				
5.	INT_DIV	0.38 ***	0.31 ***	0.90 ***	0.98 ***																			
6.	FINA	0.09 ***	0.16 ***	0.28 ***	0.45 ***	0.41 ***																		
7.	FORE	0.22 ***	0.25 ***	0.35 ***	0.57 ***	0.52 ***	0.45 ***																	
8.	INSIDE	-0.06 ***	-0.06 ***	-0.13 ***	-0.21 ***	-0.19 ***	-0.34 ***	-0.22 ***																
9.	SIZE	0.28 ***	0.33 ***	0.50 ***	0.67 ***	0.64 ***	0.61 ***	0.67 ***	-0.34 ***															
10.	ROA	0.02	0.01	0.01	0.03 **	0.03 *	0.06 ***	0.03 **	0.00	0.12 ***														
11.	ROE	0.02	0.01	0.00	-0.02	-0.01	-0.02 *	0.07 ***	0.00	0.03 **	0.04 ***													
12.	LIQUIDITY	-0.04 **	-0.07 ***	-0.12 ***	-0.16 ***	-0.16 ***	-0.27 ***	-0.02	0.30 ***	-0.36 ***	0.00	0.02												
13.	INTER	0.08 ***	0.07 ***	0.19 ***	0.41 ***	0.35 ***	0.30 ***	0.30 ***	-0.17 ***	0.35 ***	0.04 ***	0.01	-0.13 ***											
14.	LEV	0.03 **	0.02	0.05 ***	0.05 ***	0.05 ***	-0.01	0.09 ***	-0.01	0.10 ***	0.00	-0.11 ***	-0.03 **	0.01										
15.	LOANS	-0.01	-0.06 ***	0.08 ***	0.03 **	0.05 ***	0.03 **	-0.15 ***	0.03 **	-0.05 ***	-0.29 ***	-0.05 ***	-0.28 ***	-0.03 **	0.05 ***									
16.	AGE	0.10 ***	0.11 ***	0.25 ***	0.37 ***	0.35 ***	0.56 ***	0.26 ***	-0.41 ***	0.44 ***	0.00	-0.03 **	-0.33 ***	0.24 ***	0.00	0.12 ***								
17.	LOSS	-0.02 *	-0.01	-0.02	-0.05 ***	-0.04 ***	-0.14 ***	-0.09 ***	0.04 ***	-0.18 ***	-0.26 ***	-0.07 ***	0.05 ***	-0.05 ***	0.01	0.20 ***	-0.06 ***							
18.	ABS_OPCF	0.02	0.02	-0.03 *	0.00	-0.01	-0.05 ***	0.11 ***	0.08 ***	-0.05 ***	-0.09 ***	0.05 ***	0.21 ***	-0.01	-0.02	-0.04 ***	-0.11 ***	-0.02 *						
19.	GEARING	0.03 **	0.02	0.05 ***	0.04 **	0.04 ***	-0.01	0.11 ***	-0.01	0.07 ***	0.00	0.22 ***	-0.02	0.01	0.83 ***	0.04 ***	0.01	0.00	-0.01					
20.	NOGEOSEG	0.05 ***	0.39 ***	0.15 ***	0.25 ***	0.23 ***	0.11 ***	0.20 ***	-0.04 **	0.24 ***	0.01	0.01	-0.04 **	0.06 ***	0.03 *	-0.02 *	0.08 ***	-0.03 **	0.01	0.03 *				
21.	EQU_GRO	-0.01	0.00	0.00	0.01	0.01	-0.01	-0.01	0.04 **	0.00	-0.01	0.01	0.04 ***	0.01	-0.02	0.01	-0.04 ***	0.03 **	0.10 ***	0.01	0.00			
22.	BIGN	0.08 ***	0.06 ***	0.11 ***	0.16 ***	0.15 ***	0.16 ***	0.18 ***	-0.09 ***	0.27 ***	0.06 ***	-0.02 *	-0.10 ***	0.11 ***	0.00	-0.09 ***	0.02	-0.09 ***	-0.01	-0.01	0.00	0.00		
23.	AUD_CHA	-0.01	0.00	-0.01	-0.02	-0.01	-0.07 ***	-0.01	0.03 **	-0.06 ***	-0.08 ***	-0.01	0.04 ***	-0.01	0.00	0.05 ***	-0.03 *	0.07 ***	0.05 ***	0.00	0.00	0.07 ***	-0.15 ***	
24.	INDSPEC	0.07 ***	0.08 ***	0.08 ***	0.10 ***	0.10 ***	0.14 ***	0.12 ***	-0.07 ***	0.24 ***	0.05 ***	-0.02	-0.12 ***	0.07 ***	0.00	-0.06 ***	0.07 ***	-0.09 ***	-0.01	-0.01	0.00	-0.01	0.68 ***	-0.14 ***

Note: *, **, *** Indicate significance at the 0.10, 0.05, and 0.01 level, respectively, in two-tailed tests. Pearson correlations are based on 8,121 firm-year observations. See Appendix A for definitions and measurements of the variables.

TABLE 4

Mean Difference Test

Variable	JP_GAAP (A) Mean	IFRS (B) Mean	US_GAAP (C) Mean	(B) - (A) Difference		(C) - (A) Difference		(B) - (C) Difference	
SUB	8.46	96.49	78.67	88.02	***	70.21	***	17.81	
COUNTRY	4.70	22.48	22.04	17.77	***	17.34	***	0.43	
INT_DIV	0.04	0.25	0.23	0.20	***	0.19	***	0.02	
FINA	0.19	0.26	0.33	0.07	***	0.15	***	-0.07	***
FORE	0.21	0.58	0.65	0.37	***	0.44	***	-0.08	***
INSIDE	0.05	0.01	0.01	-0.03	***	-0.04	***	0.00	
SIZE	10.80	13.86	14.77	3.06	***	3.97	***	-0.91	***
ROA	0.02	0.04	0.04	0.02		0.01		0.01	
ROE	0.61	1.75	1.10	1.14	*	0.48		0.66	***
LIQUIDITY	0.19	0.16	0.12	-0.03	***	-0.07	***	0.04	***
INTER	0.74	0.97	0.98	0.22	***	0.23	***	-0.01	
LEV	9.27	19.79	16.04	10.52	***	6.77		3.75	
LOANS	0.13	0.12	0.08	-0.01		-0.05	***	0.04	***
AGE	33.67	46.65	49.98	12.99	***	16.32	***	-3.33	*
LOSS	0.10	0.05	0.07	-0.04	**	-0.03		-0.02	
ABS_OPCF	0.07	0.08	0.08	0.01		0.01	*	0.00	
GEARING	2.70	8.58	7.02	5.88	***	4.32	*	1.56	
NOGEOSEG	0.03	0.25	1.74	0.22	***	1.71	***	-1.49	***
EQU_GRO	1.01	1.00	1.02	-0.01		0.00		-0.01	
BIGN	0.74	0.98	0.93	0.23	***	0.19	***	0.05	**
AUD_CHA	0.04	0.02	0.03	-0.02		-0.01		-0.01	
INDSPEC	0.21	0.29	0.30	0.08	***	0.10	***	-0.02	
Number	7,752	202	167						

Note: *, **, *** Indicate significance at the 0.10, 0.05, and 0.01 level, respectively, in two-tailed tests. See Appendix A for definitions and measurements of the variables.

TABLE 5

Internationalization and IFRS Adoption Analysis

Dependent				*IFRS*		
	(A)		(B)		(C)	
	Coef.	Z-statistic	Coef.	Z-statistic	Coef.	Z-statistic
Test variables						
SUB	0.004	5.60 ***				
COUNTRY			0.036	6.99 ***		
INT_DIV					2.917	6.85 ***
Control variables						
FINA	-1.224	-2.59 **	-1.160	-2.44 **	-1.203	-2.53 **
FORE	0.479	2.35 **	0.297	1.45	0.385	1.88 *
INSIDE	-1.230	-1.36	-0.996	-1.15	-1.073	-1.22
SIZE	0.361	8.88 ***	0.321	7.65 ***	0.319	7.60 ***
ROA	3.001	1.79 *	2.601	1.55	2.690	1.61
ROE	0.008	1.36	0.009	1.49	0.009	1.43
LIQUIDITY	0.766	1.63	0.857	1.81 *	0.746	1.58
INTER	0.139	0.75	-0.003	-0.02	0.037	0.20
LEV	-0.005	-1.06	-0.003	-0.76	-0.004	-0.82
LOANS	0.370	0.77	0.413	0.86	0.287	0.59
AGE	-0.003	-1.14	-0.005	-1.59	-0.004	-1.54
LOSS	0.125	0.55	0.130	0.58	0.114	0.50
ABS_OPCF	0.130	0.11	0.103	0.09	0.165	0.14
GEARING	0.006	0.91	0.004	0.67	0.004	0.71
NOGEOSEG	-0.136	-3.31 ***	-0.164	-3.97 ***	-0.152	-3.69 ***
EQU_GRO	-0.524	-1.10	-0.475	-1.00	-0.498	-1.04
BIGN	0.441	1.96 *	0.452	1.96 *	0.433	1.89 *
AUD_CHA	-0.387	-1.39	-0.333	-1.20	-0.358	-1.28
INDSPEC	0.848	2.34 **	0.946	2.60 ***	0.942	2.59 **
Intercept	-6.549	-8.57 ***	-6.158	-7.98 ***	-6.048	-7.79 ***
Year FE	Yes		Yes		Yes	
Industry FE	Yes		Yes		Yes	
Pseudo R^2	0.444		0.453		0.453	

Note: *, **, *** indicate significance at the 0.10, 0.05, and 0.01 level, respectively, in two-tailed tests. Table 5 presents the multivariate regression results for three test variables by including various controls that affect IFRS adoption on a sample of 8,121 firm-year observations. All the regression models include industry fixed-effect based on the TSE Codes, and year fixed-effects. See Appendix A for definitions and measurements of the variables.

TABLE 6

Internationalization and US GAAP Adoption Analysis

Dependent	US_GAAP					
	(D)		(E)		(F)	
	Coef.	Z-statistic	Coef.	Z-statistic	Coef.	Z-statistic
Test variables						
SUB	0.002	1.810 *				
COUNTRY			0.015	2.300 **		
INT_DIV					1.397	2.290 **
Control variables						
FINA	4.645	5.320 ***	4.653	5.300 ***	4.658	5.310 ***
FORE	0.838	2.350 **	0.736	2.080 **	0.783	2.210 **
INSIDE	-1.200	-0.550	-1.370	-0.610	-1.239	-0.560
SIZE	0.673	9.370 ***	0.673	9.440 ***	0.666	9.270 ***
ROA	-0.028	-0.010	-0.203	-0.090	-0.197	-0.090
ROE	0.001	0.090	0.003	0.220	0.003	0.220
LIQUIDITY	0.017	0.020	0.247	0.340	0.149	0.210
INTER	0.650	1.690 *	0.587	1.520	0.599	1.560
LEV	0.004	1.210	0.004	1.180	0.005	1.330
LOANS	-4.442	-4.970 ***	-4.273	-4.890 ***	-4.367	-4.940 ***
AGE	-0.007	-1.370	-0.007	-1.430	-0.008	-1.490
LOSS	0.212	0.700	0.174	0.560	0.181	0.590
ABS_OPCF	1.525	0.920	1.535	0.920	1.530	0.920
GEARING	-0.028	-2.110 **	-0.025	-1.890 *	-0.027	-2.070 **
NOGEOSEG	0.380	7.140 ***	0.391	7.360 ***	0.387	7.300 ***
EQU_GRO	0.364	1.470	0.344	1.470	0.356	1.500
BIGN	1.122	2.920 ***	1.189	3.100 ***	1.161	3.030 ***
AUD_CHA	0.005	0.010	0.005	0.010	0.012	0.030
INDSPEC	0.322	0.680	0.334	0.710	0.364	0.770
Intercept	-14.954	-10.930 ***	-15.067	-11.010 ***	-14.934	-10.900 ***
Year FE	Yes		Yes		Yes	
Industry FE	Yes		Yes		Yes	
Pseudo R^2	0.649		0.651		0.651	

Note: *, **, *** indicate significance at the 0.10, 0.05, and 0.01 level, respectively, in two-tailed tests. Table 6 presents the multivariate regression results for three test variables by including various controls that affect US GAAP adoption on a sample of 8,121 firm-year observations. All the regression models include industry fixed-effect based on the TSE Codes, and year fixed-effects. See Appendix A for definitions and measurements of the variables.

TABLE 7

Moderate effects of foreign ownership on IFRS Adoption Analysis

Dependent	*IFRS*					
	(A)		(B)		(C)	
	Coef.	Z-statistic	Coef.	Z-statistic	Coef.	Z-statistic
Test variables						
SUB	0.004	5.37 ***				
SUB_dummy	0.953	4.61 ***				
SUB_dummy × FORE	-0.887	-2.51 **				
COUNTRY			0.037	6.27 ***		
COUNTRY_dummy			0.821	4.03 ***		
COUNTRY_dummy × FORE			-1.330	-3.68 ***		
INT_DIV					2.853	6.18 ***
INT_DIV_dummy					0.969	4.71 ***
INT_DIV_dummy × FORE					-1.292	-3.59 ***
Control variables						
FINA	-1.446	-2.99 ***	-1.257	-2.61 ***	-1.310	-2.71 ***
FORE	0.930	3.25 ***	1.004	3.55 ***	1.074	3.70 ***
INSIDE	-0.810	-0.89	-0.702	-0.79	-0.683	-0.76
SIZE	0.293	6.82 ***	0.288	6.73 ***	0.275	6.38 ***
ROA	2.999	1.78 *	2.569	1.50	2.576	1.50
ROE	0.008	1.36	0.009	1.49	0.009	1.43
LIQUIDITY	0.560	1.14	0.609	1.25	0.489	1.00
INTER	-0.031	-0.16	-0.145	-0.74	-0.126	-0.65
LEV	-0.004	-0.89	-0.004	-0.88	-0.004	-0.84
LOANS	0.167	0.34	0.312	0.64	0.128	0.26
AGE	-0.004	-1.49	-0.005	-1.71 *	-0.005	-1.84 *
LOSS	0.082	0.35	0.092	0.39	0.077	0.33
ABS_OPCF	-0.345	-0.28	-0.063	-0.05	-0.105	-0.08
GEARING	0.004	0.73	0.004	0.74	0.004	0.68
NOGEOSEG	-0.107	-2.61 ***	-0.134	-3.24 ***	-0.120	-2.93 ***
EQU_GRO	-0.428	-0.94	-0.337	-0.76	-0.357	-0.80
BIGN	0.444	1.90 *	0.427	1.83 *	0.425	1.81 *
AUD_CHA	-0.405	-1.43	-0.366	-1.29	-0.393	-1.38
INDSPEC	0.872	2.36 **	0.940	2.54 **	0.945	2.55 **
Intercept	-5.853	-7.58 ***	-5.993	-7.89 ***	-5.752	-7.50 ***
Year FE	Yes		Yes		Yes	
Industry FE	Yes		Yes		Yes	
Pseudo R^2	0.458		0.462		0.465	

Note: *, **, *** indicate significance at the 0.10, 0.05, and 0.01 level, respectively, in two-tailed tests. Table 7 presents the multivariate regression results for three test variables by including various controls that affect IFRS adoption on a sample of 8,121 firm-year observations. All the regression models include industry fixed-effect based on the TSE Codes, and year fixed-effects. See Appendix A for definitions and measurements of the variables.

TABLE 8

Moderate effects of foreign ownership on US GAAP Analysis

Dependent	*US_GAAP*					
	(D)		(E)		(F)	
	Coef.	Z-statistic	Coef.	Z-statistic	Coef.	Z-statistic
Test variables						
SUB	0.002	1.65 *				
SUB_dummy	-0.784	-1.97 **				
SUB_dummy × FORE	1.312	2.10 **				
COUNTRY			0.016	2.11 **		
COUNTRY_dummy			-1.080	-2.64 ***		
COUNTRY_dummy × FORE			1.596	2.50 **		
INT_DIV					1.454	2.09 **
INT_DIV_dummy					-1.073	-2.63 ***
INT_DIV_dummy × FORE					1.611	2.53 **
Control variables						
FINA	4.871	5.48 ***	4.989	5.57 ***	5.014	5.59 ***
FORE	-0.086	-0.15	-0.364	-0.66	-0.321	-0.58
INSIDE	-1.765	-0.77	-1.429	-0.66	-1.299	-0.60
SIZE	0.718	9.35 ***	0.741	9.64 ***	0.734	9.49 ***
ROA	0.238	0.10	0.218	0.09	0.263	0.11
ROE	0.003	0.24	0.004	0.43	0.004	0.39
LIQUIDITY	0.512	0.66	0.753	0.99	0.661	0.87
INTER	0.709	1.85 *	0.687	1.78 *	0.701	1.82 *
LEV	0.005	1.76 *	0.004	1.60	0.005	1.72 *
LOANS	-4.475	-4.94 ***	-4.311	-4.84 ***	-4.411	-4.89 ***
AGE	-0.008	-1.56	-0.009	-1.67 *	-0.009	-1.72 *
LOSS	0.255	0.82	0.232	0.74	0.249	0.80
ABS_OPCF	1.833	1.12	2.002	1.22	1.995	1.22
GEARING	-0.029	-2.32 **	-0.024	-1.96 *	-0.026	-2.10 **
NOGEOSEG	0.386	7.18 ***	0.400	7.38 ***	0.395	7.32 ***
EQU_GRO	0.335	1.30	0.318	1.34	0.324	1.33
BIGN	1.178	3.04 ***	1.258	3.25 ***	1.226	3.16 ***
AUD_CHA	0.010	0.02	-0.005	-0.01	0.003	0.01
INDSPEC	0.404	0.85	0.449	0.94	0.480	1.00
Intercept	-15.359	-10.99 ***	-15.813	-11.21 ***	-15.686	-11.10 ***
Year FE	Yes		Yes		Yes	
Industry FE	Yes		Yes		Yes	
Pseudo R^2	0.652		0.655		0.655	

Note: *, **, *** indicate significance at the 0.10, 0.05, and 0.01 level, respectively, in two-tailed tests. Table 8 presents the multivariate regression results for three test variables by including various controls that affect US GAAP adoption on a sample of 8,121 firm-year observations. All the regression models include industry fixed-effect based on the TSE Codes, and year fixed-effects. See Appendix A for definitions and measurements of the variables.

10. Organisational Behaviour
Refereed Delivered Paper

The Dark Side of Empowering Leadership Perceived Leader Expediency, Duty Orientation and Unethical Pro-Organizational Behaviour

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ABSTRACT: *Although scholars have studied the antecedents of unethical pro-organizational behavior, there is still an incomplete understanding on how empowering leadership influences unethical pro-organizational behavior. Based on two field studies and grounded in social exchange theory, we examined the mediating effect of duty orientation through which empowering leadership predicts unethical pro-organizational behavior. In addition, we also address the moderating role of perceived expediency in the indirect relationship between empowering leadership and unethical pro-organizational behavior. This study extended current knowledge about leader's behavior and improved understanding on the persistence of workplace unethical behavior.*

Keywords: unethical pro-organizational behavior; empowering leadership; perceived leader expediency; duty orientation

Introduction

Recent studies have found that many unethical activities were performed by employees to benefit their companies and leaders (such as destroying incriminating files to protect an organization's reputation or disclosing exaggerated information to the public). Consequently, scholars have investigated unethical pro-organizational behavior (UPB), defined as "unethical behaviors that seek to benefit the organization or its leaders" (Umphress et al. 2010, p. 770). Evidences demonstrate that UPB exacts harm and costs to the organizations in the long run (e.g., Mesdaghinia, Rawat, & Nadavulakere, 2018). Such negative consequences have encouraged research on the antecedents of UPB, with researchers tending to conceptualize UPB as a function of organization identification that an employee experiences, or as a function of the performance pressure that lead employees to cross the moral baseline. Accordingly, management and leadership literatures have consistently recognized the important role of the leader (e.g., ethical leadership, transformational leadership, and transactional leadership) in influencing employee unethical behavior (Effelsberg & Solga, 2015; Effelsberg, Solga, & Gurt, 2014; Miao, Newman, Yu, & Xu, 2013).

One key to unlocking the antecedents of UPB is empowering leadership – leader behavior directed at individuals or teams that involves delegating authority to employees, promoting their self-directed and autonomous decision making, coaching, sharing information, and asking for input (Sharma & Kirkman, 2015). Although empowering leadership has significant positive influence on individual attitude and outcomes (Cheong, Spain, Yammarino, & Yun, 2016; Seibert, Wang, & Courtright, 2011), it may lead to reduced performance and job induced tension (Kim, Beehr, & Prewett, 2018). Recent studies has posited that the rampancy of unethical pro-organizational behavior in recent decades has been partly attributed to high levels of leader empowerment (Appelbaum, Iaconi, & Matousek, 2007; Spreitzer & Doneson, 2005). Nevertheless, it remains unclear whether empowering leadership has the potential effects on undesirable outcomes such as UPB. Accordingly, the present studies has been designed to evaluate whether, why, and when the experience of empowering leadership may elicit unethical pro-organizational behavior.

According to social exchange theory, leaders play a central role by influencing employee attitudes and behaviors. They build exchange relationships with subordinates by bestowing benefits on them, such as support, autonomy and fairness (Lorinkova & Perry, 2017). We argue that empowering leadership tend to predict subordinates' UPB through duty orientation – an individual's volitional orientation to loyally serve and faithfully support other members of the group, to strive and sacrifice to accomplish the tasks and missions of the group, and to honor its codes and principles (Hannah, Jennings, Bluhm, Peng, & Schaubroeck, 2014). This is because duty orientation is central to the employee reciprocation aspect in a social exchange relationship (Eva, Newman, Miao, Wang, & Cooper, 2018). When employees are empowered by the organization, they feel greater obligation towards the organization and their team members (i.e., duty orientation), and more likely to reciprocate in kind with behaviors directed towards the organization (Eva et al., 2018). In turn, duty orientation influences adjustment of subordinate attitude and behaviors commensurate with the treatment received from leadership. In addition, scholars also highlighted different dimensions of duty orientation as the most acceptable indicators of UPB (Hannah et al., 2014). Thus, in the current research, we answer the call and use social exchange theory to more fully understand the duty orientation as the mechanisms through which the behavioral modeling inherent in empowering leadership results in followers behavioral change.

In addition, we sought to identify the impact on subordinates of seeing their leaders engage in expediency as a way of efficiently taking care of business (McLean Parks, Ma, & Gallagher, 2010), which are usually endorsed to create a "level playing field" for those operating within a social group. This type of unethical behavior has been referred to as "leaders' expediency", a form of "use of unethical practices to expedite work for self-serving purposes"(Greenbaum, Mawritz, Bonner, Webster, & Kim, 2018). When duty orientation and perceived leader expectancy interact, followers are much more likely to embrace UPB as an appropriate way to behavior. Figure 1 demonstrates our proposed model.

Insert Figure 1 about here

Our study will make several important contributions. First, our study extends past research that empowerment can invoke UPB, by additionally illustrating why duty orientation lead to UPB, as well as boundary condition under which employees are more or less likely to engage in UPB. In this sense, our work is an important complement to extant research on the antecedents of UPB. Second, we contribute to the empowering leadership literature by explicitly providing a conceptual framework which could explain the dark side of empowering leadership. Even though previous studies have voiced the need to examine negative and unexpected aspects of empowering leadership (Cheong et al., 2016; Sharma & Kirkman, 2015), a conceptual framework which could explain those aspects sufficiently has not been suggested. Our work helps further understand the negative aspect of empowering leadership conceptually and tries to fill an important gap in the literature both conceptually and empirically. Last, by responding to Hannah et al.'s (2014) call for testing the influence of leadership on (un)ethical outcomes through duty orientation, we propose the empowering leadership will enhance UPB via three dimension of duty orientation to build a deeper understanding that how duty orientation relates to other constructs in the broader organizational and psychology literatures.

Theoretical Background and Hypotheses

Social exchange theory explains that people give back commensurately what they have received from the other party (Tekleab & Chiaburu, 2011). According to the theory, employee will feel an obligation to reciprocate the support from the organization (Cohen & Keren, 2008; Park, Appelbaum, & Kruse, 2010). Central to this social exchange view of organizations is that leadership are tightly linked to employee behavior, making the perspective useful for scholars interested in predicting and explaining workplace behavior. Relatedly, empowering leadership induces feelings of meaningfulness and a sense of ownership and responsibility for work outcomes. As a result, employees are likely to feel greater obligation towards the organization and their team members (duty orientation) be more engaged with activities that are valuable to their organization (Lee, Willis, & Tian, 2018).

Empowering leadership and duty orientation

Drawing from social exchange theory, we argue that empowering leadership predicts increased duty orientation. Empowering leadership is characterized as a set of behaviors of the leader who shares power or allocates more responsibilities and autonomy to his or her followers through enhancing the meaningfulness of work, expressing confidence in high performance, promoting participation in decision making, and providing autonomy from bureaucratic constraints(Chen, Sharma, Edinger, Shapiro, & Farh, 2011). There are clear ties between empowering leadership and the social exchange relationship in a managerial context. Theoretically, empowering leadership are likely perceived by employees as positive in nature and develop feelings of trust. Employees believe leaders trust them to perform important tasks autonomously and bolster their self-determination, meaning, competence, and impact (Li, Chiaburu, & Kirkman, 2017; Lorinkova & Perry, 2017). Consistent with the definition of empowering leadership and social exchange theory, when employees are offered opportunities for autonomy and involvement in the organization, they likely experience high-quality exchange relationships, reflected in duty orientation.

Specifically, according to Hannah et al., 2014, duty orientation can be reflected in three dimensions: to loyally serve and faithfully support other members of the group (duty to member), to strive and sacrifice to accomplish the tasks and missions that the group faces (duty to mission), and to honor the codes and principles of the group (duty to codes). Accordingly, we argue that duty orientation could be embedded in specific empowering leader behaviors for three reasons. First, empowering leaders create strong social bonds connecting followers to the organization and inspiring loyalty and service to the organization and its members. This would enhance employees' orientation of duty to member by aligning individuals with their duties to the organization. Second, empowering leaders will heighten followers' self-determination (Conger & Kanungo, 1988), and such perceptions can stimulate employees' duty to accomplish the missions of the organization. To ensure the success of the organization's goals, employees with high level of duty to mission will do whatever to avoid the failure of tasks and missions and even make personal sacrifices. Third, empowering leadership may serve to articulate and clarify to followers the codes to which the organization adheres. Thus, we

predict the following:

Hypothesis 1: Empowering leadership is positively related to increases in duty orientation (a. duty to member; b. duty to mission; c. duty to codes).

The mediating role of Duty Orientation

Drawing on social exchange theory, when employees feel empowered by the organization, they will develop a strong exchange relationship with the organization. In return for the support provided by the organization, employees will feel an obligation to reciprocate in kind by being dutiful towards the organization. As one way to reciprocate the organization's empowerment, employees might engage more readily in' pro-organizational behavior, even in unethical way (i.e., UPB). By taking UPB, employees can feel that they are satisfying their obligation to act in the best interests of their organization (Tangirala, Kamdar, Venkataramani, & Parke, 2013). Employees will consider such behaviors an obligation, no matter whether the behavior is formally prescribed within their work requirements. Consequently, employees with a high orientation of duty to member can find an avenue to fulfill their dispositional need to go beyond their self-interest and beneficially influence their workplace.

Further, empowering leaders also motivate individuals to break out of inactive mindsets, take risks and enhance their self-responsibilities, leading them to be accountable for their outcomes (Yun, Cox, & Sims Jr, 2006). Conger and Kanungo (1988) argued that unregulated empowerment practices exerted by a leader could result in followers becoming overconfident, causing them to make tactical or strategic errors, such as unethical pro-organizational behavior. Conceiving and testing potential divergent aspects of empowering leadership and its effects would aid to explain why empowering leadership is still considered an "illusion" by some. Employees with a strong duty orientation tend to be other-oriented at work and deescalate commitment to work-related decisions when it benefits the group. They may engage in organizationally beneficial behaviors even when doing so is risky. It should be noted that employees protect the organizations or helping out coworkers no by self-serving motivations but via an intrinsic need to prosaically contribute to their organization (Tangirala et al., 2013).

In addition, empowering leadership can also influence UPB through enhancing employee duty to mission. Empowered employees will see themselves as autonomous performers and fell less constrained by rigid rules. Autonomy, coupled with a perception of competence in the company, will result in unethical behaviors. In showing duty to mission of the organization, employees are likely to increase their unethical behavior directed benefits the organization, as duty to mission reflects employees' moral obligation to support the mission of the organization by performing pro-organizational behavior.

Although employees with a strong duty to codes orientation adhere strictly to their ethical principles and scrupulously fulfill their moral obligations. Empowering leadership can remove a number of organizational and job constraints and increase employee self-determination (Spreitzer, 1995). As a result, duty to codes which is can help employees without fearing the negative consequences of straying from behavior. Further, employees who possess high level of duty orientation are more likely to think about organizational issues via the lens of their duty to others and act in a way that benefits the organization (Eva et al., 2018).Through being dutiful to members, employees will engage in UPBs that benefit others in the organization, as they feel obliged to loyally and faithfully support other members of the organization. Consequently, they tend to engage in unethical behavior. Thus, we predict the following:

Hypothesis 2: Duty orientation (a. duty to member; b. duty to mission; c. duty to codes) mediates the positive relationship between empowering leadership and UPB.

2.4 The Moderating role of Perceived expediency

Our study argues that perceived leader expediency provides followers with guidance on the behaviors they should display in response to the support showed to them by the organization. Perceived leader expediency refers to supervisors engage in expediency when they act unethically to expedite their work for self-serving purposes. They are motivated by self-interest and go against an organization's prescribed rules (Greenbaum et al., 2018). Supervisors engage in expediency when they act unethically to expedite their work for self-serving purposes. These supervisory behaviors are

unethical for at least three reasons. First, they are motivated by self-interest; Second, supervisor expediency goes against an organization's prescribed rules; Third, supervisor expediency violates moral norms of behavior that are endorsed by individual because it will cause harm to a third party (Greenbaum et al. 2018). When employee's perception of leader expediency is high, they may believe that upholding social and moral norms is not important for the benefit of the organization. They become obsessed with their own success and survival in a competitive environment and disregard the needs and wants of those around them. Thus, we predict the following:

Hypothesis 3: Perceived expediency will moderate the indirect relationship between empowering leadership and UPB though duty orientation (a. duty to member; b. duty to mission; c. duty to codes), such that the relationship will more strongly and positively when perceived expediency is higher rather than lower.

Study 1

Participants and procedure. We recruited 300 participants who had full-time jobs in a large privately-owned service company in China. Participants were asked to complete an online survey. They were assured about confidentiality and their anonymity throughout the data collecting process, and informed that the study was a research project to understand employees' behavior at work. At Time 1, we asked participants to complete measures of empowering leadership and demographics. One month later, at Time 2, participants rated duty orientation and UPB. There were 250 participants in the Time 1 survey (83.30% response rate), and 211 participants in the Time 2 survey (84.4% response rate). Participants who incorrectly responded to the response items and who completed the survey in a very short time were removed from the analysis, leaving a final sample of 203 employees. On average, the participants included 61.6% males and 43.3% had bachelor degree. Their age ranges were 25-30 (41.4%), 31–35 (45.3%), 36–40 (7.9%), and 41–45 years (5.4%). Their main work tenure range were 1-3 years (31.5 %), 3-5 years (13.3%) and 5-10 years (15.8%).

Measurements. The survey items were originally developed in English. We translated them into Chinese by strictly following the back-translation procedures (Brislin,1986). All the items in the study were rated on a five-point Likert-type scale (1 = strongly disagree, 5 = strongly agree).

Empowering leadership. Empowering leadership was measured using 13-items scale developed by Ahearn（2005）. The sample items includes "my leader helps me makes many decisions together with others". *Duty orientation.* Duty orientation was measured using the 12-items scale developed by Hannah et al. (2014), with three subscales assessing duty to member (e.g., "Put the interests of my team ahead of my personal interests"), duty to mission (e.g., "Do whatever it takes to not let the mission/organization goals fail"), and duty to code (e.g., "Will not accept dishonor") measured by 4 items, respectively. *Unethical pro-organizational behavior.* Participants were asked to report UPB using a six-item scale developed by Umphress et al. (2010). A sample item includes "Because it would help my organization, I once misrepresented the truth to make my organization look good,".

Control variables. Several participants demographic variables were controlled, including age, gender, education and work tenure. Previous research has shown that such variables are related to duty orientation and unethical behavior (Dang, Umphress, & Mitchell, 2017; Jennings, Mitchell, & Hannah, 2015).

Results

Descriptive statistics. Table 1 presents the means, standard deviations, alpha reliability coefficients, and correlations of the variables.

Testing the measurement models. To evaluate the measurement model in advance of testing the structural model, we conducted a series of confirmatory factor analyses (CFA) without including control variables. As can be seen in Table 2, the results demonstrated that the hypothesized five-factor model was a good fit with the data (χ^2 = 302.40, *df* = 195, χ^2/ *df* = 1.55, CFI = .93, TLI = .92, RMSEA = .05).This result provided evidence that further examination of the structural modeling was warranted.

Insert Table 1 and 2 about here

Hypotheses testing. To test Hypothesis 1, we estimated a model in which duty orientation (duty to member, duty to mission and duty to codes) were predicted by empowering leadership. In support of our prediction, results of SEM were presented empowering leadership was positive related to duty to member ($\gamma = .27$, $p < .01$), duty to mission ($\gamma = .27$, $p < .01$) and duty to code ($\gamma = .24$, $p < .01$). Thus, Hypothesis 1 was supported.

we followed Kenny, Kashy, and Bolger (1998) to test the mediation model. Specifically, duty to member ($\gamma = .21$, $p < .01$) and duty to mission ($\gamma = .22$, $p < .01$) were positively related to UPB. However, the effect of duty to codes on UPB were not significant ($\gamma = .11$, n.s.). Figure 2 shows the overall mediating estimation model with path coefficients.

Insert Figure 2 about here

To further and directly examine our proposed mediation effects, we performed bootstrapping procedures using Monte Carlo simulation techniques (Preacher & Hayes, 2008). With 10,000 replications, we found that the indirect effect of empowering leadership on UPB through duty to member was .06, with a 95% bias corrected bootstrap confidence interval of [.02, .06], which does not contain zero. Thus, the mediating effect of duty to member proposed in Hypothesis 2a was supported. Further, the 10,000-resampling showed that the indirect effect of empowering leadership on UPB via duty to mission was .06, with a 95% bias-corrected bootstrap confidence interval of [.02, .11], not containing zero, and thus proving support for Hypothesis 2b. In contrast, from the bootstrapping results, the association between empowering leadership and UPB is not mediated through duty to codes. Thus, Hypothesis 2c was not supported.

Study 2

Participants and procedure. We recruited 200 participants who had full-time jobs in a large company in China. In the first survey, the employees were asked to complete a paper questionnaire about their demographics (age, gender, education, and work tenure), moral identity, and empowering leadership. One month later, at Time 2, participants rated duty orientation and perceived expediency. Two weeks later, at Time 3, participants rated UPB. There were 198 participants in the Time 1 survey

(98.5% response rate), 154 participants in the Time 2 survey (79.38% response rate), and 110 participants in the Time 3survey (71.43% response rate). Participants who incorrectly responded to the response items and who completed the survey in a very short time were removed from the analysis, leaving a final sample of 101 employees. On average, the participants included 52.5% males and 34.7% had bachelor degree. Their average age was 36.83. Their average work tenure was 9.97 years.

Measurement. We measured empowering leadership, duty orientation, and unethical pro-organizational behavior with the same measures as in Study 1. *Perceived leader expediency.* Perceived leader expediency was measured by the scale developed by (Greenbaum et al., 2018). In particular, participants were asked to rate the extent to which their supervisor cuts corners to complete work assignments more quickly, alters performance numbers to appear more successful, ignores company protocols in order to get what he or she wants, and ignores company protocols in order to get what he or she wants. *Control variables.* We controlled for individual variables, including the employees' gender, age, education and tenure. Prior research suggested that moral identity is an essential factor influencing ethical decision-making, as it acts as a self-regulatory mechanism that establishes parameters for individual behavior, and motivates specific action that is moral (Dang et al., 2017). Therefore, we controlled for moral identity using 10 items from Aquino and Reed's (2002) scale.

Measurement Models. Table 3 shows that the overall CFA results confirmed that the hypothesized six-factor model fitted the data very well (χ^2 = 545.34, *df* = 386, χ^2/ *df* = 1.43, CFI = .91, TLI = .90, RMSEA = .06).

Insert Table 3 about here

Results

Descriptive statistics and correlations. Table 4 sets out the means, standard deviations, and intercorrelations among the study variables.

Insert Table 4 about here

Hypotheses testing. Empowering leadership was positively related to duty to member ($\gamma = .01$, $p < .01$), duty to mission ($\gamma = .01$, $p < .01$) and duty to code ($\gamma = .00$, *n.s.*). Thus, Hypothesis 1a, 1b and 1c was supported. In relation to Hypothesis 2, specifically, there is a positive relationship between empowering leadership and duty to member($\gamma = .32$, $p < .01$), and in turn duty to member is positively related to UPB ($\gamma = .32$, $p < .01$), but duty to codes is not positively related to UPB ($\gamma = .11$, n.s.). Figure 3 shows the overall estimation model with path coefficients.

Insert Figure 3 about here

Supporting Hypothesis 2a, duty to member significantly mediated the relationship between empowering leadership and UPB (indirect effect = .002, bias-corrected 95% CI [.001, .006]). Supporting Hypothesis 2b, duty to mission significantly mediated the relationships between empowering leadership and UPB (indirect effect = .001, bias-corrected 95% CI [.000, .005]). Supporting Hypothesis 2c, duty to codes mediating the relationships between empowering leadership and UPB (indirect effect = .001, bias-corrected 95% CI [.000, .002]). The total indirect effects of empowering leadership and UPB (total indirect effect = .004, bias-corrected 95% CI [.002, .009]) were positive and significant. These results were derived while controlling for the effects of gender, education, age, work tenure and moral identity.

As shown in Table 5, for high levels of perceived leader expediency, the indirect effect of empowering leadership on UPB through duty to member was significant (conditional indirect effect = .23, CI [.15, .29]); and the indirect effect of empowering leadership on UPB through duty to mission was significant (conditional indirect effect = .09, CI [.03,.16]); and the indirect effect of empowering leadership on UPB through duty to codes was not significant (conditional indirect effect = .04, CI [-.01,.04]).The total indirect effect of empowering leadership on UPB through duty to member was significant (conditional total indirect effect = .46, CI [.31,.61]); and the total indirect effect of empowering leadership on UPB through duty to mission was also significant (conditional total indirect effect = .33, CI [.22,.45]).When perceived leader expediency was low, none of the indirect effects were significant. These results supported Hypotheses 3a, 3b but not for 3c.

Insert Table 5 about here

Discussion

Theoretical implications. In the present paper, we seek to advance the antecedents of UPB by suggesting and testing a theoretical model that improves our understanding of when and why empowering leader leads to UPB. We use social exchange theory as the theoretical framework to argue that UPB emerges from the production of empowering leadership through duty orientation. At a theoretical level, if the experience of empowering leadership were shown to engender unethical pro-organizational behavior, it could lead to a more expanded view of the construct of empowering leadership. More specifically, the possibility that the experience of empowering leadership may also induce unethical behavior would lead to a more nuanced and balanced way of understanding empowering leadership, that is, as a double-edged sword.

Practical implications. If the experience of empowering leadership were shown to increase unethical behavior, it may give pause to organizations that follow the trend of providing employees with greater job autonomy. At the very least, organizations would need to consider how to offer empowering leadership in a way that maximizes its benefits (e.g., job satisfaction, creativity) and minimizes its unintended costs (i.e., unethical behavior).

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Table 1 Means, Standard Deviations, and Correlations among Variables in Study 1

Variable	M	SD	1	2	3	4	5	6	7	8	9
1. Gender(T1)	1.38	.49	-								
2. Age(T1)	1.77	.81	-.04	-							
3. Education(T1)	2.37	.68	.26**	-.16*	-						
4. Work tenure(T1)	2.88	1.61	. 03	.65**	.08	-					
5. Empowering leadership(T1)	3.75	.55	-.04	.05	.04	.08	(.86)				
6. Duty to member(T2)	3.91	.64	-.06	.02	.02	.01	.27**	(.79)			
7. Duty to mission(T2)	3.71	.64	-.12	.21**	-.02	.14*	.27**	.48**	(.79)		
8. Duty to code(T2)	3.68	.53	-.04	.16*	-.02	.14*	.23**	.36**	.44**	(.70)	
9. UPB(T2)	2.69	.71	-.17*	.04	-.01	.01	.16**	.32**	.34**	.28**	(.84)

Note. *N*=203. *p<0.05, **p<0.01(two-tailed), UPB= unethical pro-organizational behavior.

Table 2 Model Fits of Measurement Models in Study 1

Models	χ^2	df	χ^2/ df	CFI	TLI	RMSEA
Five-factor model [a]	302.40	195	1.55	.93	.92	.05
Three-factor model [b]	446.92	202	2.21	.84	.82	.07
Two-factor model [c]	639.40	204	3.13	.72	.68	.09
Single-factor model [d]	803.83	205	3.92	.61	.57	.11

a: In this model, all items were influenced by their own factors respectively.
b: In this model, items for duty to member, duty to mission and duty to code were influenced by the same factor, and items for other variables were influenced by their own factors respectively.
c: In this model, items for empowering leadership, duty to member, duty to mission and duty to code were influenced by the same factor, unethical pro-organizational behavior was influenced by the same factor.
d: In this model, there is only one factor influencing all variables.

Table 3 Model Fits of Measurement Models in Study 2

Models	χ^2	df	χ^2/ df	CFI	TLI	RMSEA
Six-factor model [a]	545.34	386	1.41	.91	.90	.06
Four-factor model[b]	761.34	399	1.91	.80	.79	.10
Three-factor model[c]	1121.57	402	2.79	.61	.58	.13
Single-factor model[d]	1573.57	405	3.89	.37	.32	.17

a: In this model, all items were influenced by their own factors respectively.
b: In this model, items for duty to member, duty to mission and duty to code were influenced by the same factor, and items for other variables were influenced by their own factors respectively.
c: In this model, items for perceived expediency, duty to member, duty to mission and duty to code were influenced by the same factor, and items for other variables were influenced by their own factors respectively.
d: In this model, there is only one factor influencing all variables.

Table 4 Means, Standard Deviations, and Correlations among Variables in Study 2

Variable	M	SD	1	2	3	4	5	6	7	8	9	10	11
1. Gender(T1)	1.49	.52	-										
2. Age(T1)	36.83	8.12	-.17	-									
3. Education(T1)	2.30	2.90	.38**	-.09	-								
4. Work tenure(T1)	9.97	9.19	.07	.56**	-.06	-							
5. Moral identity(T1)	3.92	.56	.22*	-.06	.01	.04	(.88)						
6. Empowering leadership(T1)	3.39	.55	-.07	.15	-.08	-.03	.10	(.91)					
7. Duty to member(T2)	3.93	.41	-.02	.26**	-.03	.25**	-.14	.37**	(.89)				
8. Duty to mission(T2)	3.81	.42	-.08	.32**	-.18	.18	-.02	46**	.65**	(.72)			
9. Duty to code(T2)	3.86	.41	-.05	.15	-.04	.04	.09	.32**	.44**	.57**	(.77)		
10. Perceived leader expediency(T2)	2.39	.74	-.17	.24	-.08	.02	-.33**	-.07	-.08	-.03	-.02	(.94)	
11. UPB(T3)	2.29	.64	.05	.03	-.06	.04	-.08	.30**	.35**	.34**	.27**	.22**	(.88)

Note. *N*=101. *p<0.05, **p<0.01(two-tailed), UPB= unethical pro-organizational behavior.

Table 5 Conditional Indirect Effects in Study 2

Moderator	Mediator	Level	Effect	SE	95% CI
Perceived leader expediency	Duty to member	Low	.01	.03	[-.04, .07]
		High	-.07	.05	[-.17, -.01]
		Index of moderated mediation	-.12	.07	[-.29, -.01]
	Duty to mission	Low	-.06	.03	[-.12, -.01]
		High	.04	.04	[-.03, .13]
		Index of moderated mediation	.11	.06	[.01, .23]

Note. *N*=101.

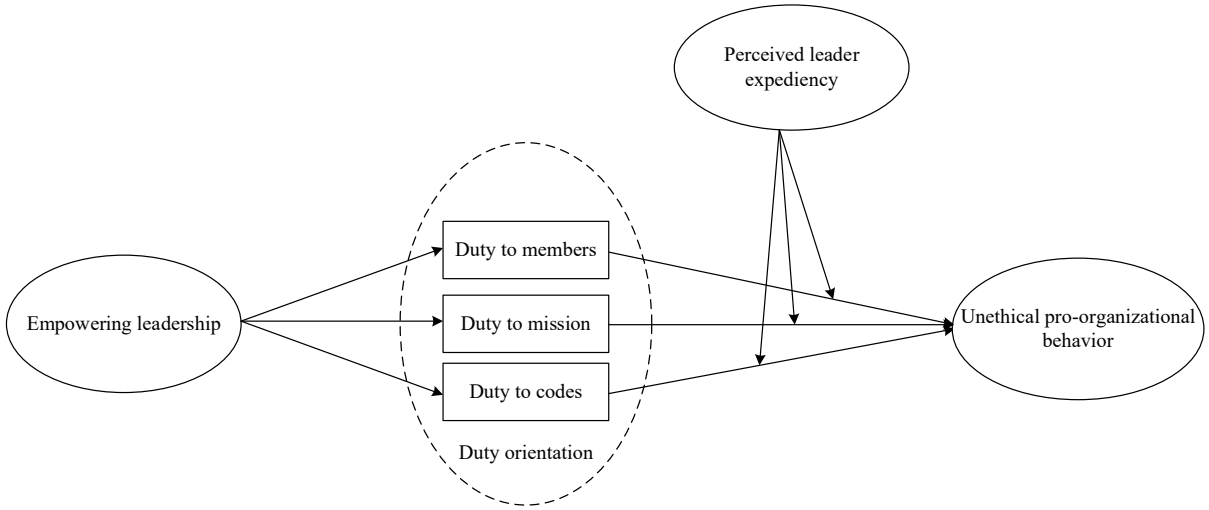

Figure.1 Theoretical Model

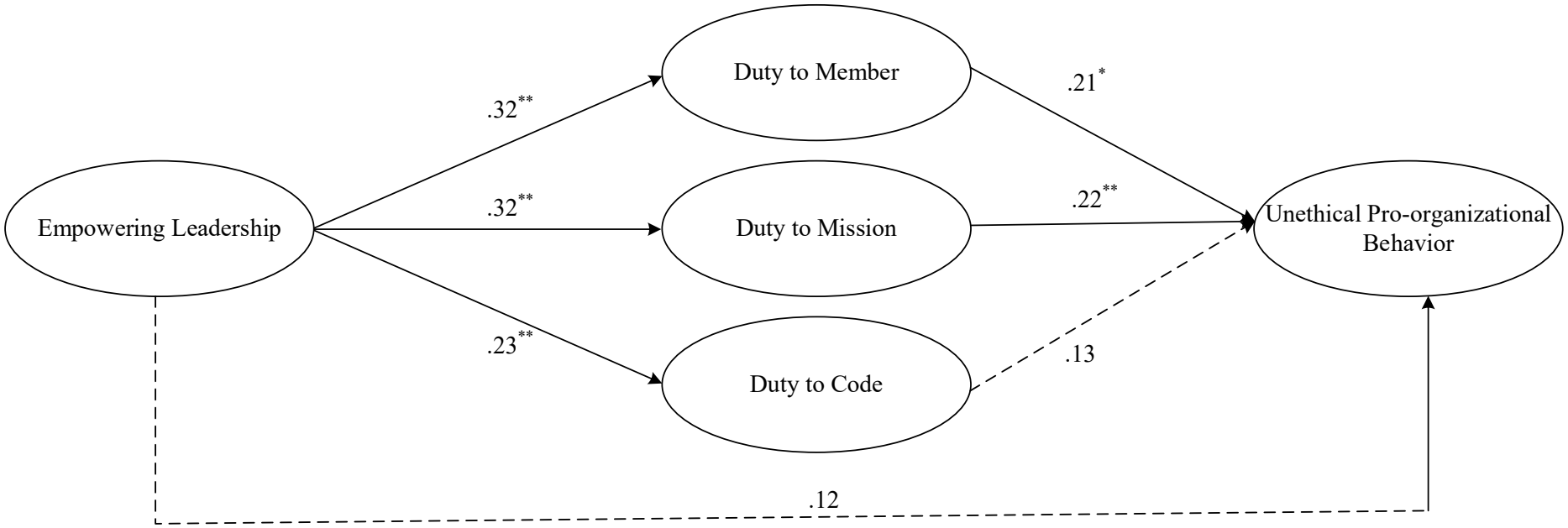

Figure 2 Path Coefficients of the Hypothesized Relationships in Study 1

Note. Solid line indicates significant path, and dashed line indicates non-significant path.

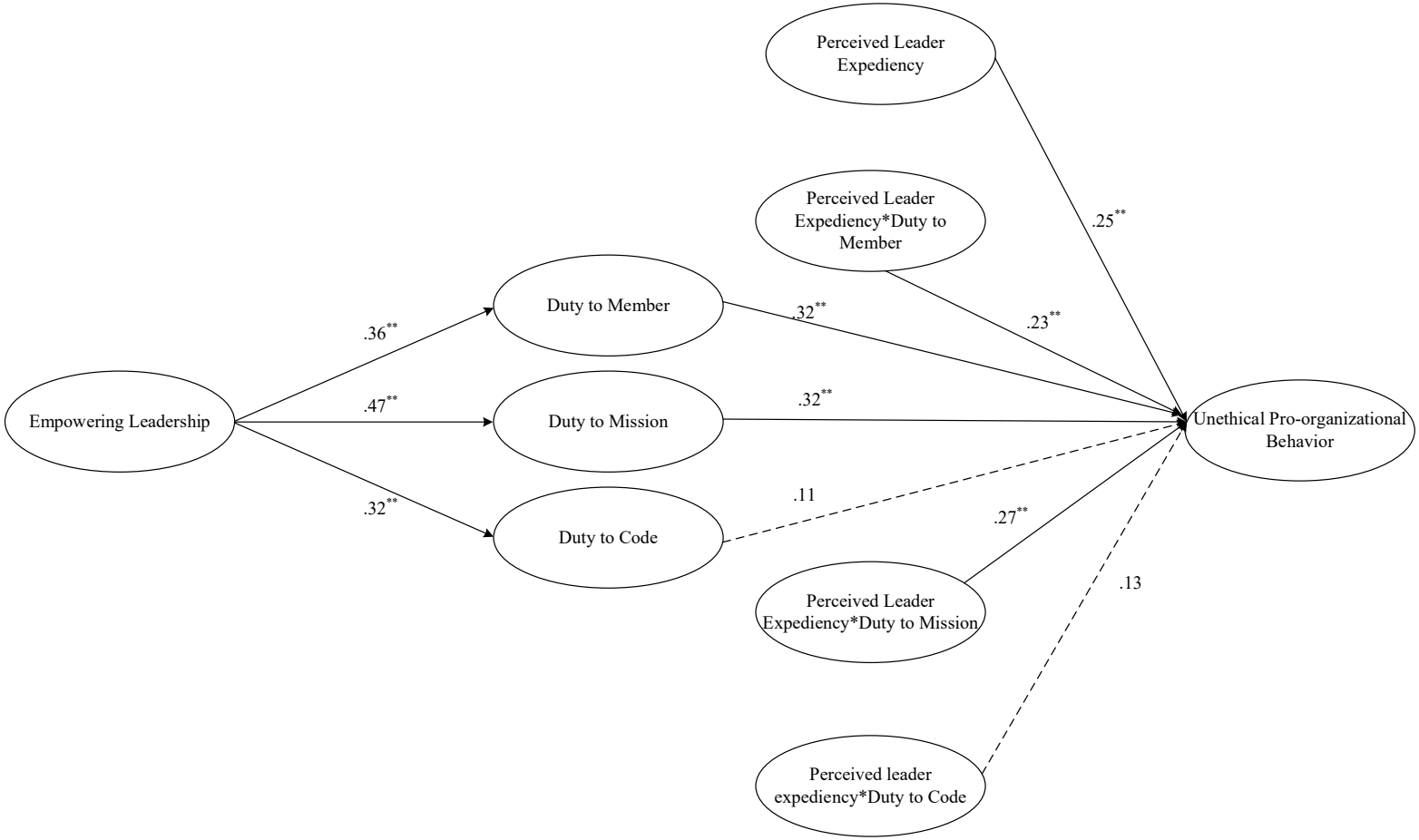

Figure 3 Structural Equation Modeling results for the Moderated Mediation Model in Study 2

Note. Solid line indicates significant path, and dashed line indicates non-significant path.

3 Gender, Diversity and Indigeneity

Refereed Delivered Session

The job search experience of former international student migrants in Australia. Does a local qualification make a difference to skill discounting?

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Abstract

Migrants enter Australia through several pathways. Study-based migration is a fast growing and numerically significant migration pathway. We know little about the job search experience of these type of migrants. Based on a pilot study of the job search of 15 hospitality graduates looking for employment in the hospitality sector, we find that these migrants' experience of skill discounting parallels that of skilled migrants without local qualifications. However, not having permanent residency and local experience in Australia further exacerbates the skill devaluation for this group.

Keywords: migrants, job search, skill discounting, graduates, hospitality

Skill discounting (SD) is the 'devaluation and lack of recognition of foreign credentials such as education (e.g.: degrees and diplomas), professional training (e.g.: apprenticeships), work experience and other work-related skills that immigrants bring with them' (Esses, Dietz, Bennett-AbuAyyash & Joshi., 2007, p.114). SD primarily occurs while a migrant is searching for employment, either at the short-listing stage or during selection, with the migrant's credentials being judged as inferior to those of a local applicant, despite appearing to be equivalent (Dietz, Joshi, Esses, Hamilton & Gabarrot, 2015; Shinnaoui & Narchal, 2010). Typically, skill discounting leads to employees ending up in jobs where they are over-qualified, under-employed and under-paid compared to non-skill discounted migrants (Anisef, Sweet & Frempong, 2003; Authors, under review; Johnston, Khattab & Manley, 2015; Li, 2001; Ramboarison-Lalao, Al Ariss, & Barth, 2012; Reid, 2012). These jobs are unlikely to fully utilise the pre-migration credentials that won them entry into the host country (Altorjai, 2013; Rajendran, Farquharson & Hewege, 2017; Sardana, Zhu & Van der Veen, 2016). Once employed, these employees typically report lower levels of job satisfaction (Chowhan, Zeytinoglu & Cooke, 2016; Subedi & Rosenberg, 2017), demonstrate less frequent organisational citizenship behaviours (Krjukova, Schalk & Soeters; 2009; Ang, Van Dyne & Begley, 2003) and are likely to have higher turnover intentions (Halvorsen, Treuren & Kulik, 2015). These employees are likely to report lower psychological well-being (Aycan & Berry, 1996; Chen, Smith & Mustard, 2010; Reid, 2012).

Alboim, Finnie and Meng's (2005) review of the Canadian skill discounting literature identified six ways in which skill discounting occurs. First, direct or indirect discrimination and prejudice by recruiters may lead to a migrant's skills being undervalued. Second, undervaluation may result from the migrant's perceived or actual poor language skills. Third, a migrant's qualifications or experience may be undervalued because the migrant's credentials are objectively of a lower standard than the local equivalent. Fourth, SD may result from recruiters having limited information about the value of a migrant's pre-migration skills. Fifth, a migrant's pre-migration capabilities may have limited relevance in the post-migration labour market. Finally, a migrant's credentials may not be recognised by local accrediting bodies.

In theory, at least, obtaining a local qualification offers the skill discounted migrant an opportunity to quickly reduce the skill discount. Such a qualification technically if not practically deals with at least four of the six reasons for skill discounting identified by Alboim et al (2005). Such a qualification ensures that the migrant has a qualification of equal standing and relevance, that is readily understood and appreciated by local recruiters, and equivalent to that held by their locally-born labour market competitors. The acquisition of a local qualification, however, does not guarantee the migrant will not be subjected to blatant or subtle discrimination (see Turchick Hakak, Holzinger, & Zikic, 2010), and does not necessarily overcome the barrier of perceived or actual language skills (Birrell, 2006).

Two-step migration policies, where an overseas citizen can obtain permanent residency and potentially citizenship by completing a fee-based study program and obtaining suitable employment (Simon-Davies, 2018), has become a significant contributor to Australian migration. As can be seen in Table 1, educational visas represent a substantial proportion of Australian net migration. Hawthorne and To (2014) and Birrell and Healy (2008) have suggested that at least sixty per cent of migrants with educational visa migrants subsequently apply for permanent residency.

Insert Table 1 about here

Although there is a substantial literature examining the processes and consequences of skill discounting for migrants (Esses, Dietz & Bhardwaj, 2006; Reitz, 2001; Syed, 2008), particularly skilled migrants (Dietz et al, 2015; Somerville & Walsworth, 2009), and a substantial literature on the experience of highly skilled female migrants (Aure, 2013; Creese & Wiebe, 2012, Man, 2004; Raghuram & Kofman, 2004), little is known about the effect of local qualifications acquired by migrants on the extent and consequences of skill discounting. We do not know, for example, whether former international students who graduated from a study program in Australia also experience skill discounting, and if so, how it occurs, and whether it is similar or different to the experience of skilled migrants with credentials acquired in their home country. This paper investigates the job search

experiences of skill discounting on migrants who completed a local qualification in hospitality in obtaining employment in the Australian hospitality sector. The purpose is to identify the key issues faced by this group of migrants, and to clarify if the experience of these job seekers is fundamentally different to that identified by Alboim et al (2005).

METHOD

We undertook an interview study of the job search and skill discounting experience of international student graduates of several hospitality study programs of a South Australian hospitality teaching institution. The institution sent out an email to their graduate list inviting participation in the study. Those graduates who entered as international students and remained in Australia were selected for the study. Further, referrals by participants were also used to obtain access to interviewees. Combination of both these sampling techniques (former being network sampling and latter snowball sampling) is an acceptable practice among researchers (Collis & Hussey, 2003; Somer, Ward & Scofield, 2010), considering the difficulty in accessing participants who would fit the criteria of the study (Marshall & Rossman, 2011).

Data was collected through semi-structured interviews (n=15) (Creswell, 2009; Ghauri & Gronhaug, 2005). Interviews were done over the telephone as participants were based all over Australia. Although telephone interviews have been criticised for not providing any visual cues such as body language (Novick, 2008), this type of data was not used in this study as the analysis was based on the data revealed and reported on the transcripts (Sturges & Hanrahan 2004). Moreover, interviews over the telephone creates a relaxed environment where participants could open-up about their personal experiences (Carr & Worth 2001; Sturges & Hanrahan 2004).

Interview participants came from India (n=7), Vietnam (n=4), Indonesia (n=2), Singapore (n=1) and Malaysia (n=1). Participants included graduates of various hospitality programs which were at Master's level (n=9); Bachelor's level (n=4), and Diploma level (n=2). The minimum study duration of these courses was 2 years.

The interviews were transcribed. Assisted by NVivo, we looked for common themes, words and explanations from the transcripts guided by the literature (Eren-Erdogmus, Cobanoglu, Yalcin &

Ghauri, 2010). This approach enabled us to identify new codes and themes beyond the existing literature as the job search and skill discounting experience of international graduates is a little understood area.

FINDINGS

Most of our participants (12 out of 15, 80%) reported that it was difficult to obtain a job matching their skills after graduation. Their explanations of their difficulty generally align to the reasons given by Alboim et al (2005). However, the interviews revealed two other reasons not described by the Alboim framework: the need for permanent residency and the employer expectation of local experience.

Reason 1. Discrimination and prejudice by recruiters

Alboim et al (2005) proposed that skill discounting may occur because of discrimination and prejudice by recruiters, often in a subtle or covert manner, making it difficult to identify. Five of our respondents (33%) mentioned that they experienced discrimination either in a subtle form visible through body language of the recruiter or based on ethnicity and race, and due to the prejudiced attitude of the employer while they seek employment:

> *Those were like a few shops in a plaza. It's like they were advertising for people with the exact skill that I had but they didn't seem that open when I actually applied for it. (Interviewee # L01)*

And when asked why he felt so:

> *I think it was more a body language thing; you see it enough to know that that's the case. (Interviewee # L01)*

Reason 2. Perceived or actual poor language skills.

Four participants (27%) mentioned that language skills added to the difficulty in obtaining a job that matched their skills. This difficulty was in two directions. First, as Alboim et al (2005) highlighted, the perception of poor language skills by employers, and second, the perspective of poor language skills by the migrants themselves. Although the existing literature has largely mentioned that employers perceived a language inability for migrants, in our study only one participant mentioned this directly. This interviewee thought that Australian employees would be more appropriate for certain positions which required more verbal communication and interaction:

> *I think at the same time as well you would see for example the Australian students being placed in front office because it was naturally assumed that they were better at English than – they could communicate better with customers whereas a lot of my friends and that always doing housekeeping. (Interviewee # L12)*

Three of the participants (20%) mentioned that they themselves struggled with the language. In each case, they explained that the language difficulty was from their side and not from the employer's perception:

> *Like in the beginning there's actually language barrier. It's not really the employer think so, but I also like can see that because like it's first time that you move to another country. (Interviewee # L05)*

Reason 3. Objectively weaker capabilities

Alboim et al (2005) argues that skill discounting may occur because the migrant has relatively low-quality skills. This explanation was only partly applicable. The interviewees had comparable skills because they all had local qualifications appropriate for the role they were seeking. However, three of our participants (20%) pointed out that the key issue was the level of local experience of the applicant:

> *I don't have any hospitality history. (Interviewee # L08)*

> *Also, when I applied for the food and beverage attendant in Adelaide, which is like obvious because they would not require much criteria, so it's also quite tough as well because I don't have any experience in the industry as well. (Interviewee # L05).*

Reason 4. Imperfect recruiter information on pre-migration skills

None of the participants reported that recruiters had discounted their applications because of imperfect information about the value of the migrant's skills. This could be since all our participants had obtained a local qualification from an internationally-recognised hospitality educational institution in Australia. However, five of the participants (33%) emphasised the *need for proof* of their skills, consistent with the employer need for certainty about the capacity of the applicant to do the job. They argued that a migrant's need to prove their abilities to ensure that an employer could rely on your skills. Some participants indicated that employers were not sure or aware of the skills of the capabilities of the migrant applicant:

> *I felt those jobs I could have been the manager, but once again it was more of a – I'm not sure if this guy can do the job? He's not from Australia but most of the time when I went*

> *in and started working then they – I proved to them that I was more than capable and not only the assistant manager job but managing the place as well. (Interviewee # L12)*

Reason 5. Pre-migration capabilities not relevant or lack of opportunity?

Having graduated from an Australian study program this form of skill discounting did not apply to this group. However, five participants identified that there were too few jobs with too few hotels in the local labour market and an oversupply of candidates, and this lack of opportunity was leading to skill discounting:

> *I think there was an oversupply of candidates and there was less jobs which meant that, you know, if there's employment options opening up there are like 200, 300 [resumes]. You know, it was very difficult to even get a job interview (Interviewee # L02)*

This problem was exacerbated at the managerial level, especially in regional areas:

> *…but some of the jobs are not there. The people are very consistent and steady in the workplaces so that doesn't give many opportunities on a senior level. The ground level, basic level many, but senior level there is a way less chances of getting options; that's the biggest problem I can say in a place like Adelaide or other regional areas, the job opportunities on the senior levels…(Interviewee # L09).*

For our participants, it was not their capabilities that created difficulty in employment; rather, it was more of lack of opportunities to use those capabilities.

Reason 6. Qualifications not recognised by accrediting bodies

Finally, a migrant's credentials may not be recognised by local accrediting bodies. This was not an issue for our respondents for two reasons. First, employment in the areas sought by our participants is not dependent on holding accredited qualifications. Second, even if it was, holding a local accreditation would minimise this problem.

Additional reasons. The need for permanent residency

In addition to the factors identified by Alboim et al (2005), the interviews revealed two other issues: the importance of permanent residency and the need for local experience. Not having permanent residency was a major issue for five of our participants (33%). Attaining PR presented a paradox: unless you had job experience you would be unable to obtain permanent residency and unless you have permanent residency employers will not hire you:

> *I approached them and talked to them and stuff and they were like 'no, it's a chicken and egg scenario because we can't talk to you unless you have PR and you can't get PR unless you have worked. (Interviewee # L01)*
>
> *I don't have permanent resident status, so that's why it's hard to get a job that related to your work experience. (Interviewee # L05)*
>
> *First come to the visa and come to the duration that's not permanent residence, it's not Australian…that I lost many, many opportunities in a job as well just because of my visa so I failed 3 jobs because of my visa. So, when I'm done with the agency is – yeah with the agency in Sydney I fail that job, that role because of my visa. (Interviewee # L14)*

The need for permanent residency led to our job seekers making compromises with their job preferences for this group: having to take less satisfactory jobs to better their chances of winning permanent residency. Some of our participants looked for jobs that would enhance their opportunity to obtain a permanent residency, despite having higher skill levels.

Role of local experience

Although the requirement of local experience was not identified as a reason for skill discounting by Alboim et al (2005) other studies have emphasised employer demand for local experience as a form of devaluation of migrant skills (Bauder, 2003; Creese & Wiebe, 2012). In some cases, the demand for local experience can be considered an employer's need for an employee who knows about the local system and standards. However, in some cases it can be a measure of culturally differentiating a migrant from non-migrant with an intention of excluding migrants who lack local experience (Esses et al, 2006; Turchick et al, 2010). More broadly, we believe that the employer expectation of local experience or referees stems from the desire for strong evidence of the applicant's capacity to carry out the role.

The role of local experience was reported by our participants in several ways. This was revealed through the non-recognition of previous experience. Five participants (33%) pointed out that their previous experience was ignored, with the employers emphasising on local experience:

> *What counted was how much of Australian experience have you got, that's all that it boiled down to. And because I was new in Australia, and maybe six months or to one year, I had zero experience with Australian employment, so I had to start on scratch, despite having had a Bachelor degree in hotel management, in spite of having worked in past, hotels, and having been a lecturer myself in university, teaching hospitality. (Interviewee # L07)*
>
> *What I did in India did not really matter. Like even though I had about – you know, over six to eight years of experience working for hotels and restaurants I [was] as good as someone who*

> *had just graduated out with experience, so I think that's where it made a big difference for me. (Interviewee # L02)*

Another factor related to the need for local experience was the employer's preference for local references. Two participants mentioned that employers expected local referees, and employers seemed unwilling to contact overseas referees:

> *They will not recognise your skill as well because they really don't care about the major that you're having before or the job that you had before, so even if you have any presentation skill or Microsoft skill or communication or anything, they will not consider that. (Interviewee # L05)*

> *There's no value for people who have studied and who have had skills and experience, it really didn't matter, all that mattered was we'll be able to provide an Australian reference for your job. (Interviewee # L07)*

For a clear understanding, Table 2 provides an overview of the relationship of the findings of this study with the Alboim et al (2005) framework.

Insert Table 2 about here

Discussion

Having acquired a qualification in Australia and an exposure to the country's cultural and work system, policy-makers see international students as a source of skilled labour supply (Hawthorne, 2010, 2018; Ziguras & Law, 2006). Some of the findings of this study fit well into the framework by Alboim et al (2005). These include discrimination by employers, perceived and language difficulties, employers less information in accessing the skills of migrants. While some of the findings can be considered an extension or modification of the existing factors suggested by Alboim at al (2005). These include lack of opportunity in the local labour market. Alboim et al (2005) mentions that a migrant's skill might be no longer relevant in the host country labour market. The skills of our participants were also overlooked because of the too few available jobs. We found that migrants the quality of skills possessed by the migrant was not nearly as important a problem as the lack of relevant local experience. Participants highlighted that their previous experience in hospitality was not

considered by employers and that they were not ready to accept an overseas reference to check the employability of a candidate. These problems were compounded by the employer expectation of permanent residency. Without permanent residency, migrants were less likely to obtain a job matching their skills, despite having all the relevant skills for the job. In addition, having local experience was important in getting employed. Further, factors such as migrant's skills not accredited by local bodies, migrant potentially having inadequate pre-migration skills was found to be irrelevant in the current study. This could be because our participants had obtained their qualification in Australia, being in the hospitality industry and local accreditation was not a requirement.

LIMITATIONS/ FURTHER RESEARCH

This paper sheds light on the job search experience of migrants who entered Australia as international students, emphasising their experience of skill discounting. However, the findings of this study are only preliminary, because of the limitations of the study, and because it raises additional questions. As the sample size of this study is small (n=15), this study is indicative but not generalisable. The paper reports on the findings of a small interview study but does not compare this data with non-migrants or migrants without local qualifications but who are also seeking employment within the hospitality sector. While we can identify the experiences of these job seekers, we cannot confirm that these experiences are unique to Australian-trained migrants, or are typical of migrants, or typical of all employees seeking employment in the sector. We are not certain if these experiences are typical of job search in hospitality, or of other occupation groups, such as accountancy or IT, with a big migrant enrolment. Such questions will need to be explored in later research.

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Table 1. Education-related visas as a proportion of total visas issued in 2006–07 and 2016–17

	2006-07		2016-17	
	n	%	*n*	%
Education-related visa	78,250	17.2	104,000	19.5
Skilled	40,400	8.9	37,780	7.1
Family	27,990	6.1	24,330	4.6
Special Eligibility and humanitarian	12,310	2.7	23,760	4.5
Total migration in that year	455,720	100	533,220	100

Source: Derived from Simon-Davies (2018), Table 1
Note: Data represents the number of visas based on the visa type at the time of a traveller's specific movement.

Table 2. Summary of findings

Alboim et al (2005) Ways of skill discounting	Interview results of current study
Discrimination and prejudice by recruiters	Consistent with literature
Perceived or actual poor language skills	Consistent with literature; participants also self-identified the problem.
Objectively weaker capabilities	Employers were concerned to see evidence of local experience.
Imperfect recruiter information on pre-migration skills	Employers were concerned to see evidence of local experience.
Pre-migration capabilities not relevant or lack of opportunity	Too few opportunities to make use of all the available skills
Qualifications not recognised by accrediting bodies	Irrelevant to current sample
Additional factors to Alboim et al (2005)	
	The need for permanent residency
	Role of local experience

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WISDOM IN COLLECTIVE KNOWLEDGE: THE ROLE OF SOCIAL CAPITAL IN THE KNOWLEDGE SHARING AND POWER DYNAMICS RELATIONSHIP

Wisdom in Collective Knowledge: The Role of Social Capital in the Knowledge Sharing and Power Dynamics Relationship

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Significance of Study

Global population ageing is a major challenge which has far reaching implications for many countries as they seek to provide quality care to the elderly. Ageing is likely to put unsustainable pressure on public spending, with concerns about rising health costs and the ability of the health system to serve the increasing numbers of older people needing care. This will ultimately result in the pressing need to facilitate effective knowledge sharing across the professional care team to meet the demands presented in the healthcare system.

The increase in longevity results in a raise in diseases associated with ageing, many of which require constant care and professional management. One such disease is dementia which has been identified as the third leading cause of death and disability in the world, as well as Australia (WHO, 2016; Australian Institute of Health and Welfare 2016). Because dementia is a progressive, irreversible and permanent cognitive deterioration, it is feared by many people as they age (Australian Institute of Health and Welfare 2016). An estimated 447,115 Australians currently have dementia, it is forecasted that without a medical breakthrough it is expected that people living with dementia will increase to 589,806 by 2028 and 1,076,129 by 2058 (Australian Institute of Health and Welfare 2019). It is evident that a crisis is emerging for which countries may require an effective system of care to address the medical and social needs of this large, ailing group (Australia's Institute of Health and Welfare 2014; Dementia Statistics Australia, 2019).

The condition is characterised by the impairment of some brain functions, including memory, understanding and reasoning, which slowly renders sufferers incapable of independent living (Barrett 2013). This results in dementia clients requiring extensive care from different care professionals as their capabilities and independence are slowly compromised. The direct implication for the healthcare system, government agencies and informal carers is the need to ensure dementia clients receive specialised holistic care from various car teams. This will involve knowledge transfer from one professional to the other devoid of possible barriers.

LITERATURE

To achieve quality holistic dementia care through informed knowledge sharing, an examination of the literature in three areas – knowledge sharing, power and social capital – is required. The issue of knowledge sharing and power has received some attention by scholars (Liebowitz 2007, Coopey 2010), and a few of these studies have applied these areas to the healthcare sector (Doering 1992; Currie 2006).

Knowledge Sharing

The knowledge sharing strategy employed by an organisation is determined by the complexity of their operation and the knowledge base. Knowledge in care teams is fragmented due to the involvement of various specialists. Kümpers et al. (2005), in their analysis of integrating specialist knowledge in the health sector

have proposed the care pathway in achieving integration in the process involved in caring for clients with complex needs.

Collaborative efforts in the knowledge sharing process are key features in the management of organisational knowledge, as individual knowledge can only be effective in actualising organisational effectiveness if it moves from the individual level to the group level and ultimately gets absorbed into the organisation as a whole. Knowledge sharing, according to Ipe (2003), involves distribution of knowledge across the board in every setting. It entails individual knowledge being absorbed, disseminated and used in teams. To achieve this feat the cooperation of individuals is required due to the conscious nature involved in sharing. Levinthal and March (1993) proposed that sharing of knowledge owned by different actors enhances decision making in ways that cannot be achieved by a single individual.

Knowledge is seen as a resource applied by social actors in an attempt to solve problems. It is hard to remove knowledge from its context, as it is bound to its use, and its user within the organization (Blackler, 1995). Knowledge is not something people have, but something they do, with practice connecting knowing with doing (Blackler, 1995; Gherardi, 2001, Gherardi & Nicolini, 2000; Lave & Wenger, 1991). The importance of involving disparate and dispersed professionals in the aged care system and the significance of achieving collective knowledge cannot be over emphasised. In addition to identifying the origin of knowledge, it is pertinent to identify the types and dimensions of knowledge that exist in teams of dementia care professionals. Identifying the types of knowledge and knowledge perspectives that exist among care teams can assist in understanding what is required for effective integration, sharing and diffusion of knowledge in the dementia care setting.

Knowledge is broadly classified into explicit and tacit forms (Collins 2010). Explicit knowledge is knowledge that is codified and articulated; it is sometimes referred to as 'know-that' knowledge (Duguid 2005; Webster, Brown & Zweig 2008). Explicit knowledge in dementia care is frequently represented in routines and information stored in patients' case folders, and regulatory, administrative processes and procedures that guide the aged care system. These forms of explicit knowledge are accessed and utilised by all the teams involved in different aged care institutions. Different authors have conceptualised explicit knowledge from different relevant perspectives.

An example of such perspectives is rationalised knowledge and coordinated knowledge (WEISS 1999; Holdt Christensen 2007). Explicit knowledge has been referred to as *rationalised knowledge* (WEISS 1999). Rationalised knowledge includes templates and processes required to accomplish a task. Examples in the dementia care context are the policies, statements and procedures involved in the daily activities codified to

guide the operation of residential homes. These types of rationalised knowledge are articulated for aged care facilities and can be accessed from anywhere and by anyone in the aged care system.

Explicit knowledge that is context specific has also been referred to as *coordinating and book knowledge*, due to the overarching policy and procedural nature of such knowledge (Hara & Foon Hew 2007; Holdt Christensen 2007). These types of knowledge are documented information and knowledge that serves as a guide to the care of dementia clients. However, while some explicit knowledge can be easily accessed, some is strictly context-specific and requires interpretation by an expert in the field (WEISS 1999).

The interpretation of information stored in repositories requires the application of embrained knowledge, defined as abstract, conceptual and theoretical knowledge gained through formal education (Polanyi 2015). Information documented in organisational repositories may mean different things to different professionals depending on their area of expertise. Dementia clients' medical history stored in an aged care plan, for example, will only make sense to a doctor or medical specialists who possess the embrained knowledge to understand the information in the plan and can conduct the necessary health procedures.

Embedded knowledge, alternatively, is wrapped up in an individual's ability to undertake specific tasks. It is the skills, know-how and capabilities that enable the worker to engage in a task without thinking, because it has become second nature (Blackler 1995). An example of embedded knowledge in the dementia care context is seen in nurses performing routine checks on clients' vital signs because the activity has become a normal care practice routine.

An example of embrained knowledge is the knowledge that comes from training as a general practitioner or a nurse, while the application of the knowledge to diagnose and treat or react in novel situations is reliant on embedded knowledge. While embrained knowledge is largely explicit, it also has a tacit dimension due to the need to apply embedded knowledge to different scenarios.

Tacit knowledge is difficult to consciously articulate, because it is difficult to explain intuitive knowledge and learned behaviours that are automatically displayed in particular situations (Polanyi 1997). Trying to communicate this knowledge in verbal or written form is difficult. It is a type of knowledge that requires constant practice and interaction, along with rapport between individuals for it to be elucidated.

Tacit knowledge is personal, individual and context specific. According to Blackler (1995), it is embodied and encultured, that is, the individual understands their role in an organisation and is able to function appropriately in the value system, shared beliefs and rituals of the culture of the organisation. Embodied and encultured knowledge are personal and socio-cultural in nature (Blackler 1995). Encultured knowledge in dementia care aligns with the shared stories and languages that develop overtime due to interactions with individual dementia patients.

Family members, carers and care professionals involved in constant interaction with particular clients will possess tacit knowledge about historical events or idiosyncrasies that can help in treating dementia clients

on a case-by-case basis. Experienced carers will also exhibit explicit, as well as tacit, knowledge of their roles in caring for a dementia patient. Clearly, they must have knowledge of the concept of dementia and the formal ways to care, but each carer will also possess important tacit knowledge derived from experience and personal attributes.

With regards to converging knowledge that exists in organisations, it is important to note that each type of knowledge cannot work independently of the others. Understanding the role of each knowledge type displayed by care teams reveals the different knowledge perspectives, and how each knowledge type contributes to holistic quality dementia care. Indeed, Pisano (1994) proposed that to effectively utilise an organisation's knowledge and information, it is essential for all the knowledge types to work together as collective knowledge. It can be argued that based on the typologies of knowledge, individuals with tacit knowledge work in organisations that are guided by regulated policies and procedures. Therefore, there is interaction between knowledge in its explicit qualifications, policies and procedures, and tacit knowledge that is personal to each individual, which has been gained through experience, but is not readily codified or easily transmitted.

For tacit knowledge to be useful, it needs to be available in a form where others can access it and learn from those who possess it. Conversely, explicit knowledge that exists in an organisations' documents can only be interpreted in ways based on individual understanding in a given context towards achieving a definite purpose.

Identifying the types of knowledge in the dementia care context is important in the process of harnessing available knowledge that will assist care teams to provide quality holistic care to dementia clients. From the review of the literature on the typologies of knowledge, a summary of findings is illustrated in Table 2.1.

Knowledge type	Author	Manifestation
Explicit knowledge	Duguid 2005	Know-that or Know-what
	Brown & Duguid 1998	Information shared in repositories
	Webster et al 2008	Regulations and administrative processes and procedures
Rationalised knowledge	Weiss 1999	Templates, procedures, policy statements
Coordinating and book knowledge	Holdt Christensen 2007	Context specific. Policy statements and procedures
	Hara & Foon Hew 2007	
Embrained knowledge	Polanyi 2015	Acquired through formal education. Specific to professional activities ad require expert and personal interpretation
	Blackler 1995	
Tacit knowledge	Polanyi 2015	Cognitive and personal context specific knowledge
Embedded knowledge	Polanyi 2015	Individual skills - know-how used to perform a specific task without thinking because it has become second nature.
	Blackler 1995	
	Horvath 2000	
Embodied knowledge	Blackler 1995	Applying mental abilities. Continuum of explicit to tacit knowledge. Example is following instructions in manuals and from continous use and practice it becomes tacit knowledge
	Polanyi 2015	
Encultured knowledge	Blackler 1995	Shared stories, culture and languages
Cultural/professional knowledge	Hara & Foon Hew 2007	Combination of individual professional training and personal experience
	Holdt Christensen 2007	

Power Dynamics

Knowledge is contextual in nature; it is thus a common feature in an organisation's power and politics discussion (Wang & Noe 2010). While some literature has referred to the pitfalls involved in the power play that exists in knowledge sharing, how power dynamics influence this process has not been explored. Hekkala and Newman (2013) define power as an individual's control over resources that is manipulated to gain an edge. However, Foucault (1980) posits that the existence of power produces new knowledge, which he described as *new truth*.

The struggle for power between individuals in an organisation can thus affect the knowledge sharing process, when power play is involved, which implied that the relationship between knowledge and power is important for organisational effectiveness. Knowledge sharing is relational (Heizmann 2011) and based in daily interactions. According to (Foucault 1980), power exists in relations that are constantly producing activities, including the sharing process. Therefore, for effective knowledge sharing in care professionals in dementia care, a constructive relationship between knowledge and power is essential for more collectively informed practice.

Knowledge is distributed in a much broader sense among care teams; defying the stereotyped vertical barriers to accommodate horizontal and vertical flow of knowledge in a formal organisational setting (Cecez-Kecmanovic 2004). Teams of care professionals are drawn from different knowledge perspectives, different organisations and locations. The dynamics of knowledge presents a dilemma in relation to achieving collective knowledge and because of the power issues involved in these relationships. The manifestation of power in the knowledge sharing process among care teams is thus not necessarily targeted at those holding positions in an organisations' hierarchy. Any member who has expert knowledge in a critical area may be viewed as having a source of power (Mechanic 1962; Boonstra & Bennebroek 1998).

Firstly, much research has focused on the manifestation of power due to position power or medical dominance based on the perception that those with position power necessarily possess knowledge. This assumption is referred to as *veiled authenticity* (Manias & Street 2001; Sturdy & Fineman 2001). Veiled authenticity has been defined as the perception by an individual or a group that position power equates to having expert knowledge and therefore can exert power over resources (Manias & Street, 2001). To better understand who has power in organisations, it is paramount to explore the different power bases that exist among teams of and how these power bases influence and contribute to the knowledge sharing process in the dementia context.

Secondly, informal power, such as referent and expert power based on interpersonal relationships, knowledge and social support, is present in individuals across the care continuum, and the implications of these relationships on knowledge cultivation in the care team requires attention. Formal power bases appear

to have received significant attention compared to informal power bases. Diverse teams are not just formal organisations, but also informal due to the involvement of professionals who are not bound by the organisational structure and procedures. It is possible that informal power bases affect the knowledge sharing process in teams involved in the care of dementia clients. The issue of power in informal organisations' knowledge process requires further research as the arrangement has received limited attention. Given the evidence of the effect of informal relationships on the knowledge sharing process, it can be argued that research on relational issues affecting this process would be beneficial.

SOCIAL CAPITAL

Social capital relates to relationships between various actors in a group (Nahapiet & Ghoshal 1998). In relation to care teams, aged care professionals belong to diverse professional groups, hence, to achieve interactions between these professional groups, forming a structure that will influence the level of sharing that takes place will likely aid effective dementia practice. Indeed, forming a structure that aids interaction helps create collective knowledge sharing platforms, useful because of the transient and diverse care teams involved in the care of dementia clients.

The structural dimension to social capital is therefore important due to the network of relationships between individuals that forms connectivity among and within people and units (Nahapiet & Ghoshal 1998). The network ties and interactions of the various care professionals involved in dementia care are important to the effective knowledge sharing process because these relationships form a platform for interaction and therefore can facilitate the sharing of unique and valuable knowledge. Network ties refers to relationships that exist between individuals in an organisation (Krackhardt & Hanson 1993).

The relational dimension of social capital is about relationships that are based on trust and shared norms (Nahapiet & Ghoshal 1998). These attributes are significant because they form the basis of strong relationships between members of a team that encourages knowledge sharing. Trust has been defined as the belief that the results of somebody's intended action will be appropriate from another person's point of view (Misztal 1996, cited in Nahapiet & Ghoshal 1998). In addition, trust also involves the belief that the exchange of knowledge will benefit and add more knowledge to teams and individuals.

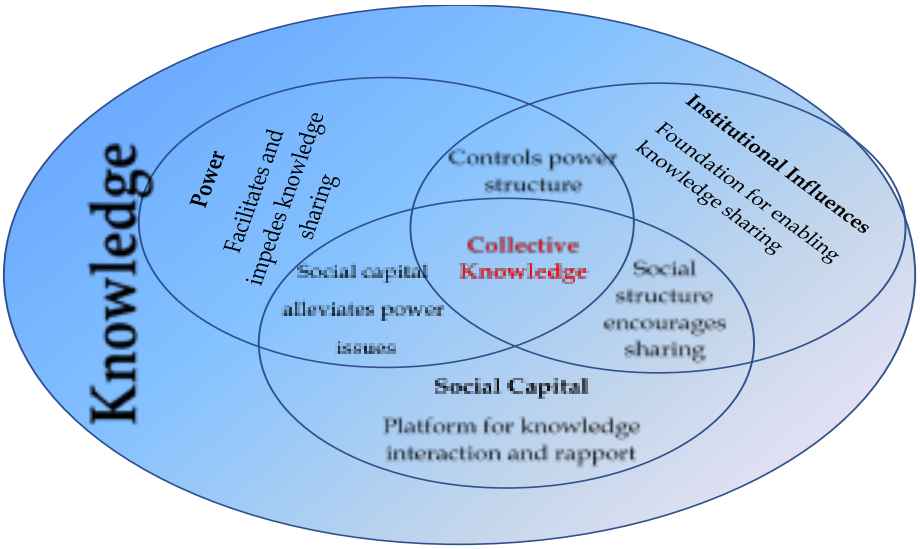
Cognitive capital refers to resources embedded in shared representation, interpretations and systems of meaning among parties (Nahapiet & Ghoshal 1998). Another definition describing cognitive social capital in a more distinctive way is that of Anand et al. (2002), which defines cognitive capital as the kind of personal relationships people develop with each other through a history of interactions (Anand et al. 2002).

The combination of structural, relational and cognitive social capital that manifest through interactions and relationships is important as it can help groups of professionals develop a shared agenda. Shared agendas are achieved due to regular interaction and the build-up of trust that contributes to common jargon, shared

objectives and interests. The development of elements of common understanding and expression is evident in the cognitive dimension of social capital.

The literature on structural, relational and cognitive social capital revealed the important role played by social processes in facilitating interpersonal connections that can contribute to the successful advancement of expert understanding, and thus the revision and enhancement of collective knowledge. Based on the above analysis, it is apparent that the quality of social interactions and relationships between members is likely to have direct impact on mutual learning and knowledge sharing opportunities within a team.

Table 2: Framework illustrating the influence of power and the role of social capital on the knowledge sharing process



METHOD

The ontology that guides this research is *critical realism* (Lings 2008). Critical realism posits realist ontology, that is, the existence of a world independent of the researcher's knowledge of it (Miller and Tsang. 2010). This is achieved by having a holistic view of the realities that exist in the study context and studying the individual's view of the social world in which they operate as it relates to nuances like language, meaning and behaviour to inform the knowledge sharing process (Crotty 1998; Lings 2008).

Epistemology provides a philosophical background for deciding what kinds of knowledge are legitimate and adequate. Succinctly, epistemology deals with the sources of knowledge**.** Therefore, due to the

peculiarity of this study's research problem, and the questions posed for the project, the epistemology of this research was based on the interpretive approach viewed from a phronesis perspective. The interpretive approach posits that research starts from the position that our knowledge of reality, including the domain of human action, is a social construction by human actors and that this applies equally to researchers. The interpretive approach is also based on interpreting and understanding relationships through observations and interviews

This research utilised a qualitative approach to examine power and knowledge in dementia care teams and thus sought to develop theory from data collected using an ethnographic approach. An ethnographic approach stresses the importance of observing participants in a particular context (Easterby-Smith 2008). An ethnographic approach is the scientific and social description of peoples and cultures with their customs, habits, and mutual differences. This approach was important to this research because it allowed the researcher to observe human behaviours over a period. The methods used in this ethnography research are participant observation and interviews. This research therefore used the combination of participant observation and semi-structured interviews.

RESULTS

Four major independent aged care facilities were used as case studies. Care teams with care professionals belonging to different professional groups who provide care to dementia clients were observed and interviewed. Different care teams and professionals were interviewed and observed namely: Psychologists, Personal Care Assistants, Dieticians, Mental Health Nurses and Allied Health professionals.

Knowledge Sharing

Membership of the care teams cut across various professional and auxiliary occupations with the shared goal of providing what most of the service managers referred to as 'better practice care or quality care'. It was evident from the interviews and the researcher's observation that excluding any member of the care teams

would prevent the achievement of collective knowledge and will hence impede holistic quality care to dementia clients.

A couple of exchanges among the care professionals interviewed and observed exemplify the importance of sharing knowledge to achieve collective knowledge in dementia care

> *The importance of all information provided by everybody working and interacting with the clients is valuable, no one can be exempted. All the knowledge and information from everyone is useful to make a clinical judgments and advice on strategies to help clients.*

Knowledge shared by every individual in the care collective is important in achieving collective knowledge. The level of superiority in the social structure did not determine the importance of an individual's knowledge base. This was evident in the statement below and the researcher's field note.

> *All staff are experts irrespective of the job title as far as they have constant interaction with the clients.*

> *Observation from the field notes.* Different types of knowledge from the personal care assistants, nurses, allied health professional, medical, nursing, administration and family members. Some knowledge and information has no direct link to dementia but they help solve the puzzle and contribute to prescribing treatment plans and strategies to help alleviate clients' behaviours of concern and develop programs that will ensure clients' independent living.

It was evident that informal knowledge sharing took place among professionals that care for dementia clients and this helped in the knowledge transfer and creation process. The importance of informal chats is detailed in the interview extract provided below:

> *We sit informally to share knowledge, I sit with the lifestyle officer and the cook and we have a cup of coffee and the service manager comes in as well and we share knowledge and strategies about the clients, the service manager come along and sit with us as well. Roster Manager (CC1), July 9, 2015.*

This statement reinforces the importance of the water cooler conversations as valuable opportunities for knowledge sharing. This is especially important in the aged care industry where 'having conversations ona

the go' is common due to time constraints and spur-of-the-moment ideas that come to an individual's memory during conversations related to previous strategies that worked in the past.

Power

Professionals sometimes claim 'ownership' of information and prevent others from having access to important information, again emphasising the importance of codifying information in repositories that are accessible to all stakeholders. The statement below shows such practice in the industry:

> *Who like to be the experts and keep some knowledge and information about clients to themselves and this is certainly a hurdle.*

> *What do you know; you are just a personal carer. You don't need to know all the information. Such reaction makes me think we are not valued but they forget that we spend more time with the clients than they do.*

These statements suggest position and information power exist and impedes the free flow of knowledge which invariably prevents achieving collective knowledge.

Social Capital

Wholesome relationships help to propel knowledge sharing, as it appeared among employees in the aged care home, backed up by the statement below:

> *I know some of the employees who will not go to some nurses because they don't have a good relationship with them and they go to others to share and learn from them.*

It was therefore evident that good relationships helped to break power barriers and foster a knowledge sharing culture. It was observed that sharing knowledge in a relaxed atmosphere and sharing knowledge

serendipitously appeared were common at teatime and lunch time. The role of social relational capital is hence important in achieving collective knowledge despite possible power barriers.

This was also evident in the statement made by one of the care team members:

> *If the professionals are to come together informally disregarding their status or credit given to their particular profession, it definitely helps us to respect each other's views because it creates opportunities to share each other's perspective.*

This suggest that delineating professional and structural boundaries and establishing network avenues help to facilitate knowledge sharing among care teams. It can therefore be argued that network avenues would also enhance collective knowledge sharing among these diverse and transient specialist professional groups and also tackle possible power issues

DISCUSSION

The main objective of this paper was to explore the influence of power on the knowledge sharing process among diverse teams of professionals and the role of social capital in these interactions in dementia care facilities. This paper contributes and informs stakeholders in the dementia care industry and managers in organisations which utilise diverse and dispersed experts to provide care and demonstrates the unique role social capital plays in ensuring power has a positive impact on knowledge sharing in multidisciplinary and dispersed teams of professionals.

Avenues for care professionals to converge and share knowledge were influenced by informal relationships built over time. Such avenues consisted of informal chats over lunch, spontaneous brainstorming sessions and training. These avenues helped to facilitate knowledge sharing among members of the care teams and attenuate possible power issues. This occurred due to constant interaction that generated rapport among members of the care teams; as such, people let down their guard and shared knowledge.

The knowledge sharing process was facilitated or deterred by power dynamics. Formal power dynamics can either serve as a deterrence or a facilitator of knowledge sharing. The data demonstrated, however, that combining informal and formal power bases facilitated knowledge sharing, a process further enhanced by

social capital. It was evident that social capital played a prominent role in the knowledge sharing process and in alleviating the effect of power on the sharing process through building relationships.

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Stream nº 12 -
Public Sector Management and
Not-for-Profit /Interactive Session

Aesthetic Consumption in Arts Organisations Manangement: An Autoethnographic Inquiry

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ABSTRACT: *The creative economy relies on arts organisations and on their ongoing capacity of generating significant experiences for their audiences, stakeholders and the artists involved in it. These experiences are considered to be highly aesthetically, although we know very few about how management deal with aesthetics in terms of production and consumption. Our research goal is to elaborate and discuss how aesthetic consumption may become a path to improve the management of arts organisations. The research's method uses autoethnography approach, involving several arts organisations in Brazil. Research outcomes highlight the importance of aesthetic consumption in the process of managing arts organisations and how it may play a strategic role in their sustainability.*

Keywords: Aesthetic consumption; Arts Organisations; Management; Autoethnography

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The creative economy relies on arts organisations and on their ongoing capacity of generating significant aesthetic experiences for their audiences, stakeholders and the artists involved in it. Paradoxically, the sustainability of arts organisations are always a challenge, and their management is weakly connected to issues of aesthetic consumption. Our knowledge about sustainability in an arts organisation is limited to theories of general management for all types of organisations, using theories borrowed mainly from the industrial and service sectors. At the same time, we know that arts organisations face distinct challenges and work in a specific mindset (Stein & Bathurst, 2008). Audiences play a vital role in the sustainability of performing arts organisations. However, little attention has been paid to building enduring relationships with existing audiences as a way of having a more dramatic impact on these organisation's long-term viability (Rentschler, Radbourne, Carr, & Rickard, 2002) On the other hand, the organisational aesthetic studies provide another point of view for management in the organisation (Boje, 2007; Strati, 1995, 2000, 2003; Taylor & Hansen, 2005).

Our research goal is to elaborate and discuss how aesthetic consumption may become a path to improve the management of arts organisations. This article aims to improve our knowledge and the practice of managing arts organisations by integrating theories of consumption and aesthetics. Aesthetics allows reflecting about a different bond between managers, the organisation, and the audience. When aesthetic is associated with consumption, it is oriented by the organisation and by the audience as well.

In order to explore the relationship between aesthetics, consumption and management in arts organisations, we adopt an autoethnographic approach (Adams, 2012; Adams, Ellis, & Jones, 2015; Alvesson, 2003; Chang, 2016; Ellis, 2007; Ellis & Bochner, 2000) This approach explores researcher experiences confronted with other managers experiences through interviews and participative observation to propose a new understanding of art management. Based on reflexivity and dialogicity, this approach operates as a device of inter-subjective confrontation that allows

researchers to achieve a new understanding of experiences and consequently to the generation of new knowledge about aesthetics, consumption and sustainability in arts organisations.

The contribution of this research is that it provides new perspectives on arts organisations in a domain that is little researched (i.e., aesthetics, consumption and sustainability) by considering them as essential dimensions in and of themselves. We uncovered that consumption is not something external to organisations, but rather a relationship that has to be managed, regularly and aesthetically in order to ensure cultural organisation sustainability. The task of building audiences is much more than a transactional process of just increasing the number of attendees (Hill, O'Sullivan, & O'Sullivan, 2003). Cultural and arts managers deal with the challenge of keeping their audiences involved in experiences that are not limited to the artistic product but may extend to the whole artistic organisational life as well.

1. ARTS ORGANISATIONS: THE ONGOING PRODUCTION OF AESTHETIC EXPERIENCE

The arts mindset has unique features and it is necessary to be aware of some of these peculiarities. Arts managers are a group of professionals that is still in construction and development. Arts managers schools are young and even rare, and most parts of adults managers had their knowledge by practising. On the other hand, some arts managers came from the arts: they are artists themselves, and they must figure out how to manage their business. Many artists work in management functions in arts organisations, and most of them had learnt how to manage the organisation and how to deal with managerial situations by practicing (Avelar, 2010; Cunha, 2007).

The artistic practice offers unique strategies for change and innovation by embracing risk, exploring ideas without determining an outcome, thereby enabling us to think differently and to mediate between individual and collective experience. At the same time, art has been increasingly

subject to market forces, which have the potential to evacuate its critical capacity (McQuilten & White, 2016). Managing in cultural industries is not about efficiently producing a product but about creating and maintaining an organisation that can produce and sell meaning. (Lawrence & Phillips, 2002).

Arts are older as humanity (Berthold, 2011). However, studies about arts management are still very young. Just recently scholars had been paying attention to the field of arts management (Hill et al., 2003; Howkins, 2002; Jung, 2017; Kolb, 2005; Kotler & Scheff, 1997; Radbourne & Fraser, 1996; Rentschler, 1999; Schmitt, Rogers, & Vrotsos, 2003; Stein & Bathurst, 2008; Throsby, 2001), the studies about it began to grow after the 1990s. The majority of researches available runs about the political perspective of cultural industries, and its impacts on society. Even though it is possible to find researches about arts management. However, almost all of them is bounded to functional business theories that are somehow adapted to the arts management field. We can find studies that are about organisational structure and management of arts organisations (Carradini, 2016; Ebbers & Wijnberg, 2009; Hearn, Ninan, Rogers, Cunningham, & Luckman, 2004; Hodgson & Briand, 2013; Kakiuchi, Sumi, & Takeuchi, 2012; Lemmetyinen, Go, & Luonila, 2013; Palmer, 1998; Radbourne & Fraser, 1996; Slavich & Montanari, 2009; Stein & Bathurst, 2008; Stewart, Fichandler, White, Dean, & Bikel, 1986; Vozikis, Clevinger, & Mescon, 1984). It is also possible to find research about the artistic product and the strategies that can be used to bound this product with the arts organisations audience (Bernstein, 2007; Fillis, 2003, 2011; Fillis & Rentschler, 2010; Fillis & Rentschler, 2005; Hill et al., 2003; Kolb, 2005; Kotler & Scheff, 1997; Lee & Lee, 2017; Quero, 2007; Rentschler, 1999; Rentschler & Kirchner, 2012; Rentschler et al., 2002; Schmitt, Rogers, & Vrotsos, 2003; Venkatesh & Meamber, 2006).

Arts organisation deals with aesthetic in all over its process, beyond its products (Le Breton, 2016; Strati, 1999; Taylor & Hansen, 2005). The creation of artistic products goes through aesthetic, and it seems curious how come it is still rare to find researches that consider aesthetic into the

management process of an artistic organisation. If we look deeper into human relations, it will be possible to verify that human being is surrounded by aesthetics and by the sensorial aspects. Sensory perceptions build a whole of meanings about the world, and they are shaped by education and used according to personal history (Le Breton, 2016). The human perceptions, therefore, are built not only by its history or educational background but also and maybe mainly by its sensorial perception. It means that to understand artistic consumption, we shall integrate the knowledge about aesthetics. Aesthetics, on the other hand, is not limited to beauty. When we mean aesthetics, we include the sensorial elements that human being can taste.

2. AESTHETIC CONSUMPTION WITHIN ARTS ORGANISATION MANAGEMENT: AN AUTOETHNOGRAPHIC STUDY

2.1 Methods

It is known that the arts organisation management field is still little systematised and much of the knowledge about the area was acquired in practice. The arts managers have accumulated a vast experience during their careers, and these experiences help to systematise and advance knowledge in the field. In this way, we understand that such experiences must be harnessed and incorporated into the methodology and not neglected as happens in most cases. Therefore, we argue that autoethnography is the methodology that best applies to the nature of the research we present here. Autoethnography is a method that uses the researcher's experience as an essential input for the production of knowledge (Alvesson, 2003; Anderson, 2006; Bochner & Ellis, 2016; Chang, 2016). Unlike the classic ethnographies, in which the researcher is a stranger in the environment, in the autoethnographic researcher is intimate and fluent to the place that she or he is researching. This experience generates a chain of knowledge that will be expanded in the research process.

It is needed that the researcher or one of the researchers involved is familiar to the theme that is being researched and that she or he have accumulated an essential experience in the field. On the other hand, to avoid that the self-experience may be toxic to the research, it may be confronted with other experiences accumulated by other professionals that act in the same field.

In this article, we used 19 years of experience in arts organisation management from one of the authors. We had chosen six relevant experiences that will be the lens through which the phenomenon will be analysed. (Figure 01). This experiences resulted in a narrative (Boje, 2001; Czarniawska, 2004) that analysed the arts management through the aesthetics, consumption and sustainability perspectives. This experiences had given paths through what was possible to understand the arts organisations mindsets, specifications and management models practically. What is considered when arts organisations are managed, what is not and the possible lacks that can be filled with the integration of an aesthetical view into the management thoughts.

The author´s experience had been confronted with other experiences: the autoethnographic researcher shall cross-examine his/her experience to avoid a limited view of the phenomenon(Alvesson, 2003; Anderson, 2006). The dialogical strangeness process was done in two poles: the holistic pole, in which the analysis had been done in an integrated way, mixing interviews with managers, observations and documents of organisations, and the focused polo in which only interviews had been analysed (Figure 02).

2.2 Aesthetic Management for Aesthetic Goods

A functional approach to a sensitive field – Arts managers believes in an organised management model to keep the business alive and sustainable. For that, the majority of them replies the management model that had been tested and used by organisations from different nature as

industrial and service organisation to seek efficiency. Sometimes it is possible to observe that the closer the management model of an arts organisation is to the management model of hegemonic organisation is, there is the feeling of well-done work by the manager's perception. Moreover, on the other hand, when managers of arts organisation describe examples of the ideal of the management model, they usually bring the orthodoxal administration rules used in the hegemonic organisation. ORG-A, ORG-B, ORG-D, ORG-E, ORG- insight-C, ORG- insight-D and ORG- insight-F seeks for an ordinary model of management, and they believe that the more functional the administration is, more successful the organisation can be All of them refer to the aesthetics only at the creation department. All the subjectiveness must be on the stage, on the exhibition walls. The more sophisticated aesthetical process leads to an excellence artistic product. It is curious to observe that there is this antagonistic thought between creation and the management of this creation. Each one stays on opposite sides of the scale of pragmatism and subjectiveness.

When ORG-A had been created, their managers had no experience in managing any art organisation, and they have not got any knowledge from university or educational program as well. So their main idea of management relied on the management model of industries, commercial and services enterprises. Even the team was composed by young artists, they wanted to look professional and for that their efforts were in being as much administrative organised as possible. They believed that if they had an organised schedule, board, procedures and plans for any situation, it would give to them much more credibility than the artistic product they were creating itself.

ORG-insight-F once had a problem with their luggage. The artistic material including costumes and music instrumental were supposed to arrive in town by plane. However, only some boxes had come, and one of the boxes in which it contained a scenic prop did not arrive. All the organisation´s effort were to get back the missing box, by contacting air company, contacting the lawyers to a possible lawsuit. That was the first step and the managers spent a long time trying to get back the box.

Nobody was thinking about a creative solution to replace the prop for something else or any kind of solution in the scene.

Aesthetic limited to the artistic product - The aesthetic experience is mostly in the stage, in the expositions, and an advertisement, even though it is noticed that aesthetics surrounds the whole artistic process and experience. However, it is away from the management of it. Coming back to the empirical data of this research, we can observe that arts organisations try to guide their management model into functional and orthodoxal models that are present in commercial organisations, for instance. Since staff chart passing through management rules and solutions, arts organisations tend to follow a functionalist model of management that does not consider one of the essential characteristics of arts organisations, the aesthetics.

There was a significant conflict in ORG-E. During a general meeting in which the main sectors were discussing the organisation strategies, the manager suggested that the communication sector expanded their activities to the institutional communication and to all the communication operations in the organisation. The idea was that everything that was communicated by the organisation: not only folders, advertisements, costumers letters and propaganda, but also internal memorandums, warnings to the staff, contact with suppliers and all the communication that could be internal or external would have the supervision of the communication department that would guarantee that the organisation aesthetic identity could be extended to everyone. The conflict came when the artistic director disagreed of the suggestion. The director believed that communication was at the service of the artistic product and the dissemination of the artistic content of the organisation and administrative matters should not compete with the artistic demand.

Aesthetics anthropophagy: art for the artists and their peers - Even managers are concerned about the audience when they talk about it, we can observe that in the day by day of organisations that follows the non-economic logic, the products are made to be consumed by the artists and in the

most of the time the audience is made by the same people that attend to the organisation. Arts managers still do not advance to capture new publics other than the usual ones. ORG-E has several audiences; it an organisation that has a different kind of products and each product attracts different audiences. Rarely one group of the audience comes to attend to another kind of product. There was an instrumental project that had a constant and faithful audience. The show happened once a month, and every single month, the same people were attending the show. There was another project of dance performances that had itself a constant and faithful audience as well. Both of those audiences went to the same organisation, but none of them attended to another project that was different from the one they were engaged with.

The organisation is split into two differet worlds: management and creation– The artistic product plays a central role in the management of many arts organisations. When managers think about the aesthetic in their business, this thought is, in the most of times, focused on the product itself, and it is not expanded to the whole organisations. All the creative effort is focused on the artistic product, and the managerial process is treated as something functional that is separated from the aesthetical nature of the business. It seems that the organisation is divided into two separated parts, the creative one and the administrative one and they occupy opposite poles at the organisation and they rarely dialogue, even though both of them works for the same proposal.

ORG-C had this difference very clear not only in its procedures but also in its spatial organisation. Creative departure worked in a house separately from the administrative sector which operated underground far from the stage, from the rehearsal rooms and far from the collection of costumes. ORG-Insight-F, on the other hand, had the administrative room close to the artistic direction room, but the approach ends there. The organisation were used to travel on tours. The administrative sector was responsible for managing all the tour procedures, but the manager never travelled into a tour. That is, the manager had to manage something far away from her reality because she never

experienced a tour by herself, and the procedures of management were done mechanically. The administrative sector was also responsible for managing the local shows and events in hometown in, but there are no records of participation of the administrative sector in any rehearsal or creation meeting.

2.3 From Aesthetic Consumption to Aesthetic Goods

When the audience attends an art organisation event, the relation with the organisation usually starts before the event itself. Costumers had been informed about the show via advertisements, friends indications and the relation with the art product does not finish when the show ends. Brochures, soundtracks, a snack or dinner at the coffee theatre extends the relationship between audience and organisation that is bounded through aesthetics. However, it seems to be a one-way hand when it is possible to notice that even the audience is bounded to the organisation thought aesthetics, the organisation, by another hand usually does not consider this approach consciously to manage the relationship between both.

Products and services as products and services to financial resources – To all the arts organisations managers researched for this paper, the artistic product is their main product, and the organisation is the consequence of it. However, there are other kinds of products and services in an art organisation that can be offered to the audience, but the managers usually do not give the same importance to them or more than that, they still do not see these products as an aesthetic extension of the organisation. ORG-C, ORG-E and ORG-insight-C have a coffee shop into their buildings, managing by them. The primary function of the coffee shop is to provide some drinks and food for their audience and to provide some profit to the organisation. However none of these organisations, at least, consciously, manages their coffee shops as an aesthetic extension of them, as a way through what the audience can keep the relationship with the organisation and with its aesthetical proposal

or identity. From the menu to the service, from the simplest one to the fanciest one, no one of then creates a real connection with the organisation itself.

Advertisement to sell tickets for the event – All of the organisations that had been studied here use advertisement as the leading way to communicate their activities and events. Electronic media, advertisements in newspapers, production of pamphlets, posters are the main elements of communication. Even these elements are aesthetical by itself; they usually are used as a mean to sell tickets. It is sporadic to see any communication that seeks to provide a strong relationship between audience and organisation, or tries to create a boundary by powering the organisation's brand or aesthetical identity. Audiences are informed about the artistic product, and in all of the advertisement pieces, the name of the organisation must be printed otherwise it will not be recognised, for example, only by the aesthetic identity of the graphics piece. It means that the advertisement, even being a powerful aesthetic element, is used again, functionally. It is not expanded as an aesthetic experience provided by the organisation. ORG-B, for example, has a significant trajectory, but all of their advertisement pieces follow the same model as the other arts organisations in the town. They have outstanding pictures of the company, of the dancers, but it reflects the show they want to communicate.

Communication planning to one event at a time – Arts organisation have its history and trajectory and they are the result of their artistic creations: they are not resumed at one of them. However, all the arts organisations excepted one, studied here, tend to think about their communication planning, focusing at one event at a time separately from the whole organisation identity. ORG-E, for instance, has a recognisable and long trajectory and it has an annual artistic appraisal. Curiously their communication planning considers communicating one event at a time highlighting the event itself. Here it is necessary to make an observation: In Brazil, the country where all the studied organisations are in, theatres can rent their rooms to other productions; can create its

productions or both. Differently, from theatres in which one play or show happens for one or more years, there is a natural rotation of spectacles, and many of them happen in the same organisation during a year. The organisations who have not a building, have its past trajectory and repertory, so in both of cases, we believe it is healthy to build an organisation image and bound with the audience, not only a with activities that happen at one time. ORG-C received other organisations products and produced their art product as well. However, as the ORG-E, the ORG-C had a curatorial program, and through it, the activities were programmed. However, the whole communication turned around the product by product and disregarded the thread that was the organisation itself. The only organisation studied here that has a different way to deal with its communication planning is the ORG- insight-D. It is a festival, and all the planning turns around the festival curator.

Services and customer service disregard from the organisational aesthetic unity - Many arts organisations managers tend to think about their products separately. As if the organisation was one thing away from its artistic products. Moreover, when the arts managers think about products, only the artistic products stay in the top their concerns and the other products and services are disregarded. It is like each thing is separated from each other, and they are not a part of a whole process that is the organisation itself. So, the organisations tend to deal with their customers through its products only and all the meaning and identity that was built by the organisation is dismissed. However, some other organisations can think about an aesthetical unity to involve their customers beyond the artistic product/show itself.

ORG-insight-F can provide an example of how it is possible to link their product with other services. ORG-insight-F is recognized by its amazing shows. They are full of energy, technique and rich and powerful aesthetic. The audience can interact with the organisation through its products and the experience can be extended in other possibilities, like the dance classes that are offered by the

organisation, for instance. The organisation offers dance and percussion classes for audiences one day before or after the shows when they are away and during the whole year in their headquarter.

2.4 From Aesthetic Consumption to Aesthetic Management

Arts organisation managers in most of the times manage their relationship with customers and audience based on the same principles that ordinary enterprises do. ORG-insight-C, for instance, sells theatre plays and all the promotion of sell are based on the marketing tools already known and used by big corporations. Discount in tickets, advertisement is primarily used, but other possibilities of aesthetic consumption experience are not.

Org-insight-D has a way to build an enduring relationship with the audience by a program that is focused on elementary and junior school. They offer tickets to young students so they can attend to some shows. However, the tickets are not only "given"; they are exchanged by another artistic product that must be created and produced by the young audience. The organisation believe that doing this, the young audience grows with the understanding that performance arts are an economic activity, and all the products have a cost and value. Besides, the organisation explain the show the students are about to see, and afterwards, they discuss it. However, again all of this is done focused on one product at a time, and when the show is over, the relationship with the audience and the whole organisation, which is plenty of meaning and aesthetical identity also finishes.

3. AESTHETIC CONSUMPTION FOR ARTS ORGANIZATIONS MANAGEMENT

Aesthetics as an organisational bond - Aesthetics cannot be limited to an artistic product. Is it not an isolated situation, it involves the whole arts organisation, and it may be considered into the entire management process, not only creation. When arts organisation thinks about aesthetics, they

tend to put it into the creative process and the final artistic product only. However, aesthetics is part of the entire process of an arts organisation, and if the arts organisation splits the aesthetics from the other means, it can lose a vital chance to improve its performance and to take advantage of the potential that aesthetics can offer into the management of the organisation. Aesthetics may involve all of the organisation players, not only the audience and customers but also the organisation team, stakeholders and everyone else. The aesthetics are the bond that can strengthen the organisation identity and unity.

Aesthetic consumption as a vital key for management – The primary client of an arts organisation is the audience. The audience represents the customers that will consume and provide sustainability for the organisation. When arts organisation managers care about their customers, it does not mean necessarily that they are refusing their aesthetic and artistic motivation. To think about the audience is the key to keep the aesthetical principles and artistic identity alive. Without customers, the organisation will not be sustainable and will not be able to keep its activities. All of It seems obvious; however, arts organisations tend to avoid thinking about customers during the first steps of their managerial procedures, and in many times, they do not consider consumption in management. There of an effort to make the artistic product recognisable by the peers and critique and the audience is put as a simple consequence of the creative procedures.

Consumption, management and creation working together – After all that was said, we can argue that aesthetics is present in the whole process of arts organisation management. Not only the creative sector but all the other operations have a link with the aesthetical issue. It is usual to split artistic creation to the artistic management and consumption. However, each one of these elements has vital importance and potential to improve the performance of the organisation, and for that, they must work together, not separated as if each one represented a specific interest. Arts organisation can expand the aesthetic to the whole process of management, from human resources, passing

through financial and administration to communication, customers relationship and product. The organisation itself is their main product, and everything that is part of it can be explored and expanded aesthetically.

Conclusion and Discusstion

Arts organisations have a specific mindset in which aesthetics plays a fundamental role in their main products. Arts organisations sell aesthetic through its products and from them, it is possible to comprehend the relations between it and creators, consumers, coproducers, stakeholders. More than that, aesthetics are present in the whole process of creation and distribution of the artistic product. However, it can be observed that managers still do not consider aesthetics as a fundamental part of their management process. It is possible to notice that the products have considerable importance in arts organisations and for their managers.

The arts organisation management model does not consider its aesthetical essence: It is still based on traditional and functional methods. The aesthetical elements that are presented into the artistic products are not extended to its model of management and arts organisation are still wasting a potential chance to improve their performance and their relationship with their customers. For a sensitive and sensorial mindset, the functional model of management does not seem to be appropriate and does not seem to bring benefits as well. The creative process must work together with the management and consumption must not be forgotten. Aesthetic management is the bond that can strengthen the organisation identity and unity.

We argue that this research can implicate further studies to amplify the concept of Aesthetic Management, considering the elements we had discussed above. Arts management scholars can improve investigations about arts organisation management, and new features can be found from the

lens of aesthetic. Also, scholars will be able to use autoethnography as an efficient method to investigate the management practices that are kept in the manager's experiences and background. Managers and practitioners in the arts organisation, on the other hand, will get updated tools to help them to improve and develop their activities.

Figure 1 – Autoethnographic Experiences

Organisation	Kind of organisation	Experience	Duration
ORG-A	Theatre Company	It was the first experience of managing an art organisation by the first author. She had founded the organisation with a graduation colleague, and they both had created and sold drama plays for other companies like hotels, malls, schools, universities.	19 months
ORG-B	Dance Company and Theatre	This dance company had been recognized as one of the most relevant dance companies in the country, and because of that, the government gave the company a theatre to be its headquarters. The first author came to the organisation to implement the new headquarters and theatre management. Afterwards, she was the producer of the company and the one who led the national tours of it	168 months
ORG-C	Theatre	It was a theatre that produced its owns plays and received other artistic productions as well. The author was the head of producers, and she was responsible for all the leading management procedures in the theatre.	29 months
ORG-D	Art production agency	The first author and two other partners created an art production agency. The organisation managed projects of artists associated with it. The agency dealt with different kind of artistic languages such as theatre, music, visual arts, dance, and it had multiple kinds of art projects. The agency also created its projects. It was a profit organisation that expected to sell artistic products that had a meaning to the partners.	50 months
ORG-E	Theatre	During four years, the first author had been the head of operational and management chair of this organisation what is a theatre with more than 50 decades old. This organisation produces its artistic products, and it holds a Theatre Company plus an artistic, educational program and an archive.	50 months
ORG-F	Arts Managers Association	This association is formed by a group of artistic managers of more than 20 theatres and buildings that produces and distributes artistic products. The association has private and public organisations represented by its managers. During the meetings	50 months

		that happen once a month, the arts managers discuss and make decisions about a variety of subjects that are linked to the arts organisation field, like the proposition of public policy, taxes and law determinations. Audience concerns and everything else about the arts organisation practice is discussed.	

Figure 2 - Strangness

Organisation	Kind of organisation	Pole	Strangeness with:
ORG-insight-A	Arts public foundation	Focused	Interview with the president
ORG-insight-B	Public Theatre	Focused	Interview with the director/manager
ORG-insight-C	Private Theatre	Focused	Interview with director/manager
ORG-insight-D	Dance Festival	Holistic	Interview with artistic director, interview with, interview with producer, observation, documents
ORG-insight-E	Orchestra	Holistic	Interview with the manager, performances observation, documents
ORG-insight-F	Dance Company	Holistic	Routine observation, documents, interview with artistic director and financial manager

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Ambidexterity in project-based organizations - A theory of value perspective on the organizational contribution of project management offices

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Abstract

The purpose of this study is two-fold. First, it seeks to understand the organizational contributions of project management offices (PMOs) in project-based organizations (PBO) from a theory of value perspective. Secondly, it applies the concept of ambidexterity to PBOs and their PMOs. The literature revealed three main dimensions: performance, benefits and value. A proposed value framework captures the dimensions and demonstrates how they are linked. Finally, twenty problem-centered interviews with PMO managers have been conducted which confirmed the framework and provided additional 41 sub-dimensions. It could be shown, that performance is exclusively linked to Portfolio/Program/Project management, whereas value, to the largest extent, is linked to the organization. Finally, an ambidextrous approach is suggested to increase and retain organizational value.

Keywords: Organizational value, organizational contribution, performance, benefit, value

Ambidexterity in project-based organizations - A theory of value perspective

The steadily increasing number of project-based organizations (PBO) leads to the questions how to grow value through both exploitation and exploration also known as ambidexterity (O'Reilly & Tushman, 2004). A PBO "makes the strategic decision to adopt project, program and project portfolio management as business processes to manage its work" (Miterev, Mancini, & Turner, 2016, p. 3). Increasing projectification (the primary use of projects in organizations (Midler, 1995)), changing environments and temporality in PBOs (Bakker, DeFillippi, Schwab, & Sydow, 2016) make changes to the traditional thinking inevitable. The framework of ambidexterity best explains the balance between flexibility, stability, and continuous alignment required in PBOs (Müller, Pemsel, & Shao, 2015). Project management offices (PMO) are able to bridge the gap betweeen exploitation, exploration and organizational value generation. In this study, the term PMO is understood as a "generic term that refers to any organizational body or entity operating as a single or multi-entity construct responsible for providing one or more services relating to a portfolio, program and/or project" (Roden, Joslin, & Müller, 2017). This paper seeks to understand the different organizational contributions and how they are linked to offer a new ground work of setting up PMOs and organizational project management in PMOs. Organizational design has been defined as "Integration of all project management-related activities throughout the organizational hierarchy or network" (Drouin, Müller, & Sankaran, 2017). PMOs are part of this design process, however, it is not yet well understood which contributions are actually provided by PMOs because of the multifaceted nature of organizational value (Ang & Biesenthal, 2017). Additionally, rather myopic views and lack of ambidexterity may lead to questioning the value of PMOs after their first successful five years (Gartner & Folkedal, 2018). This revised paper goes beyond its first version which was presented at EURAM 2018, Reykjavik, (1) by applying a theory of value lens on PBOs, (2) by assessing a organizational value framework derived from the body of literature qualitatively to enrich the discussion about value creation. (3) Lastly, it explains how ambidextrous approaches are able to cope with increasing temporality in PBOs.

Theory of value, borrowed from the field of economics, serves as theoretical lens to ensure that both objectivity and subjectivity of value is taken into account (Menger, 1976). Twenty problem-centered,

semi-structured global interviews with PMO managers have been conducted following Witzel (2000) to assess the framework.

This paper is intended to provide practitioners with a rich understanding of the possible organizational contributions of PMOs in their organizations and how to increase value generation through ambidextrous approaches. For academics it provides a differentiated understanding of the organizational contributions of PMOs. It also shows the usefulness of applying the theory of value perspective on PBOs. The paper will reduce the risk of confusion with regard to organizational contribution of PMOs. It therefore helps to clarify the different levels which allows to justify, build and run successful PMOs in changing environments of PBOs.

Accordingly, the research questions are formulated as follows:

- Which are the organizational contributions of PMOs that generate value in PBOs?
- How are these contributions linked?
- How can an ambidextrous approach help to increase the number of organizational contributions and increase value generation in PBOs?

The introduction is followed by a methodology section, the paper continues with a review of the different organizational contributions that can be found in the body of literature. As a preliminary result, the results are captured in an initial framework, which is subsequently qualitatively assessed during interviews with twenty PMO managers followed by a conclusion with recommendations for further research.

METHODS

Critical realism serves as the underlying paradigm of this research emphasizing that reality exists independently from the researcher allowing objectivity in understanding the PMO success construct (Alvesson & Sköldberg, 2009).

Within economics, theory of value offers an explanation of the multifaceted nature of value by differentiating between tangible and perceived value of goods or services (Menger, 1976). Appling this theory to the discussion about value generation in PBOs, it suggests differentiating between measurable and not or hardly measurable, rather perceived organizational contributions of PMOs.

A literature review of academic papers published was conducted to fulfill the research goals and to propose an initial framework. Interviews with twenty PMO managers were conducted from different regions such as Europe, Asia-Pacific, Middle-East, US, Latin America and Africa in a series of problem-centered interviews to validate the results with experts in their fields (Witzel, 2000). Purposeful sampling has been applied. Based on the publicly available participants and winners of global PMO competitions "PMO of the year 2018" (PMO Global Alliance, 2018; PMI), To avoid bias, a number of PMOs have been added as a control group. The interviews have been conducted until saturation was reached and no new answers could be retrieved (Miles, Hubermann, & Saldana, 2013). Having analyzed the literature on the different organizational contributions of PMOs a framework was created to gain a better understanding of how the elements are related. A framework approach was chosen because it incorporates two main elements: concepts and relationships among those. Frameworks pull together, clarify and facilitate theoretical discussions to overcome the narrow focus of selected literature reviews, research and findings (Maxwell, 2013).

LITERATURE REVIEW

The term PMO

The understanding of the term PMO varies both in academic and practitioner communities. In general, PMOs can be described as organizational entities with varying mandates providing a centralization of certain roles and responsibilities (Hobbs & Aubry, 2010). They can be differentiated e.g. between single or multi-project PMOs (Aubry, Müller, Hobbs, & Blomquist, 2010), between service and management units where the organizational contribution might differ (Müller, Glückler, & Aubry, 2013) and between particular industries (Ward & Daniel, 2013). The gap in understanding evolutionary aspects of PMOs still needs further investigation. Not surprisingly, Monteiro, Santos, & Varajão (2016) highlight the confusion by identifying 47 different PMO models, many of which contain overlapping responsibilities and different organizational contributions. It may be summarized that PMOs can be responsible for providing one or more services within a portfolio, program and/or project environment and/or a departmental or organizational, functional environment. With their contributions they increase organizational value in PBOs.

What are the organizational contributions of PMOs?

A first look at the literature on organizational contributions of PMOs reveals various related aspects, often applied interchangeably:

- Organizational **performance** (Aubry & Hobbs, 2011; Aubry, Richer, Lavoie-Tremblay, & Cyr, 2011; Hobbs & Aubry, 2011; Aubry, 2015; Jonas, 2010; Patanakul, 2015; Aubry & Brunet, 2016; Kerzner, 2011)
- **Benefits** and organizational **value** provided by PMOs (Ang & Biesenthal, 2017; Kwak & Dai, 2000; Hobbs & Aubry, 2007; Crawford & Helm, 2009; Thomas & Mullaly, 2007; Lepak et al., 2007)
- **Other organizational contributions** (Pinto & Prescott, 1988; Westerveld, 2003; de Bakker, Boonstra, & Wortmann, 2010; Ika, 2009; Jugdev & Müller, 2005; Müller & Turner, 2007; Müller & Turner, 2010).

It can be summarized that the understanding of organizational contributions of PMOs is still inconsistent which makes the differentiated analysis necessary which is provided in the next sections.

Performance

The Oxford Dictionary defines performance as "a task or operation seen in terms of how successfully it is performed" (Oxford, 2017). Performance is a frequently researched topic, which often encapsulates in other terms such as: organizational performance (Aubry & Hobbs, 2010; Aubry et al., 2011; Hobbs & Aubry, 2011), business performance (Aubry, 2015), project portfolio management performance (Jonas, 2010; Patanakul, 2015) and project and project management performance (Aubry & Brunet, 2016; Kerzner, 2011). Aubry et al. argue that PMOs are subject to a pluralism of values on performance dependent on their context and roles (Aubry et al., 2011). In a more recent study, Aubry & Brunet (2016) suggest three PMO performance perspectives: project management performance factors, related success criteria as well as factor of embeddedness of PMOs. The first two perspectives are project-related but the third perspective may include innovative performance aspects like slack, innovativeness, and ambidexterity of PMOs in line with Müller, Glückler, & Aubry (2013b). However, in their study, they omitted strategic aspects which might apply

to those PMOs that are more deeply involved into portfolio-, program- and/or project activities. Organizational performance is frequently applied as the generic term and therefore used as dependent variable in organizational studies (Hobbs & Aubry, 2011). Likewise, project performance, business performance, and project management maturity served as dependent variables in performance studies of PMOs (Aubry, 2015). Only few researchers point out the relationship and differentiation between the different types of performance (Aubry, 2015; Aubry & Brunet, 2016; Aubry & Hobbs, 2010; Hobbs & Aubry, 2009), and the complexity of the construct of performance (Hobbs & Aubry, 2011). Aubry et al. (2009) explain the contribution of PMOs to organizational performance as a result of coexisting values within the organization, which also partially explains the tensions PMOs can have with other entities in their environment. Kerzner (2011) describes PMOs as guardians of project management and their associated methodologies. He recommends the creation of own metrics (e.g. return on investment) to quantify PMOs` contribution to organizational performance (Kerzner, 2011).

Insert figure 1 about here

In the proposed framework presented in this paper (figure 1) PMO performance is positioned as first organizational contribution of PMOs and may include a completed PMO setup, project success or the successful delivery of services. Those outcomes may be measured throughout the lifecycle of a PMO and is dependent on factors such as PMO capabilities, project, organizational and PMO maturity, culture of the organization, and other environmental factors.

Benefits and how it differs from value

Referring to the Oxford dictionary, a benefit is defined as an advantage or profit gained from something in contrast to value which is defined as the regard that something is held to deserve or the importance, worth, or usefulness of something (Oxford, 2017). There is an important difference between benefit and value: the term value is rather subjective whereas benefits are tangible by nature which is in line with the subjective theory of value (Menger, 1976). In contrast to the term benefit, the notion of value of PMOs also comprises the significance of PMOs in a cultural sense, that forms an entity to provide orientation and facilitate decision making (Hobbs & Aubry, 2007). PMO value

consists of several elements which might perceived differently by individuals (Eggert & Ulaga, 2002) whereas benefits rather result in measurable outcomes, e.g. project success, customer benefit (Aubry, Hobbs, & Thuillier, 2007; Aubry et al., 2010). However, literature (e.g. Kwak & Dai, 2000) referencing benefits and value PMOs provide often treats the terms interchangeably which reveals the need for a differentiated and unambiguous look at both aspects. Jonas show that encouragement and empowerment exert a positive influence on portfolio management roles, a benefit PMOs might provide. (Jonas 2010). PMOs provide both direct (benefits) and indirect (value) organizational contributions. Hence, a distinction is required: benefits may include achieved project or project management success as measurable result whereas value may include e.g. an improved culture of knowledge sharing (Pemsel & Wiewiora, 2013). As a conclusion, organizational benefits can be seen as direct and measurable result of having one or more PMOs. In the proposed framework benefits are positioned as second tier after performance: tangible and measurable PMO benefits which are accumulated over time.

Value

Value can be understood as multilevel, multidimensional construct with many interdependencies (Aubry et al., 2009). However, sometimes expectations might be contradicting depending on the stakeholders (Ang & Biesenthal, 2017). PMOs, like any organization, are complex social constructs. and their internal development raises the question of which service with supporting capabilities to develop, to measure and which value perspective to take without neglecting others (Quinn & Rohrbaugh, 1983). Examples for omissions can be found in a paper from Kwak & Dai (2000) who primarily concentrate on improved project management effectiveness, but neglect strategic work of PMOs and the value this might produce. Lepak, Smith, & Taylor (2007) highlight that there is little consensus of how value can be achieved and captured (see also Crawford & Helm, 2009; Thomas & Mullaly, 2007). Having borrowed their evaluation framework from human resource development evaluation, Thomas and Mullaly propose five levels of organizational value of project management which might also apply to PMOs: satisfaction dealing with stakeholder perception of value, aligned use of practices, process outcomes, business outcomes and return on investment (Thomas & Mullaly, 2007b). Cooke-Davies et al. reveal that the degree of fit of organizational

strategy and the way of configuration of project management influences the value an organization obtains from PMOs including not only classic project management, but also innovation and entrepreneurship (Cooke-Davies et al., 2009). A stakeholder perspective for megaprojects is introduced by Zhai, Xin, & Cheng differentiating between value of projects with resources producing valuable project outputs and value of project management which they describe as the sum of incremental values for all. They conclude, that measurable metrics need to be developed such as value dimensions and ways to calculate the return of investments, but also covering intangible elements such as improvement of project management (Li Zhai, Xin, & Cheng, 2009). Hurt & Thomas (2009) raise the question of sustainability of PMOs in changing environments. Inspired by Collins & Porras (1994) and Jim Collins (2001), who suggest fundamental changes to create and sustain value, they even ask whether there might be an inflection point of value, an inverted U-shaped relationship of PMO value creation and time. They warn that even after having accomplished previously set targets, PMOs need to refocus again, define and head for new goals. Furthermore, an ongoing and continuously evolving investment is required to not only maintain a certain level of value, but to develop new visions and goals (Hurt & Thomas, 2009). Kutsch et al. (2015) adopt a balanced scorecard perspective to three organizations to examine PMO contribution to organizational success and their perceived value. They suggest that the future of PMOs is determined by both, a close relationship to project staff and those who decide whether expenditures for maintaining a PMO is justified, typically upper management. Rather than just offering services according to a defined catalogue, a value-driven perception of services of both groups of people decides upon the sustainability of PMOs. In other words, PMOs need to be designed according to specific organizational needs which requires an understanding of business and project environments, where a project-centric PMO might not be sustainable (Kutsch et al., 2015). Eggert and Ulaga emphasize the subjectivity of value perception and that value as construct consists of multiple elements (Eggert & Ulaga, 2002), in line with other researchers (Babaeianpour & Zohrevandi, 2013; Eggert & Ulaga, 2002; Hurt & Thomas, 2009; Li Zhai et al., 2009; Mengel, Cowan-Sahadath, & Follert, 2008; Thomas & Mullaly, 2007a, 2009). As a summary, value can be described as the (intangible) contribution of a PMO for the organization. In the proposed framework, value is introduced as third layer. The first

perceived and/or measurable value may occur after the first successful delivery of services and may increase over time as result of an accumulation of benefits the PMO provides.

RESULTS AND DISCUSSION

Twenty interviews with PMO managers have been conducted during November 2018 and March 2019 to discuss the derived dimensions of organizational contribution. The interviewees were invited to think about further elements and to provide examples of successful contributions of their PMOs. Lastly, they were asked to describe how PMO success could or has been measured according to their experiences. The answers confirmed the validity of the derived framework. Further top-level dimensions were not suggested. However, new sub-dimensions became evident as illustrated (table 1). The highest numbers of findings are marked as bold.

Insert table 1 about here

A semantic analysis reveals 41 different organizational contributions of PMOs. In terms of performance, the contributions are solely related to portfolio/program/project management (PPM). These are concrete contributions and include increased revenue, increased number of successful projects, increased compliance with the iron triangle of time, cost and quality and finally a higher level of agility. Regarding benefits the findings are mixed and almost equally distributed across PPM benefits and those that are more with the organization itself. PPM-related benefits include trainings, methodology, tangible result, but also project management systems as well as the ability to work in complex environments and to support innovative product development. Value, however, has been found to be mainly related to the organization. Whereas customer and sponsor satisfaction has been confirmed to be PPM-related contributions, by far more contributions could be identified on organizational level which include better communication and transparency, a culture of collaboration and knowledge sharing.

The proposed framework (figure 1) shows how performance, benefits and value are related and also how they integrated in a PMO lifecycle such as AIPMO's Lifecycle (AIPMO, 2019). The framework also demonstrates that performance as an ongoing activity of measuring most relevant operational and key performance metrics at typical organizational measurement points e.g. a period and/or end of a year assessments (Parmenter, 2010). PMOs regularly create discrete and tangible outcomes as result of their activities which may include, but are not limited to

- a completed PMO setup
- project success
- an increase of the services offered and/or delivered
- an increase of their maturity (Kaul, Joslin, & Brand, 2018).

The interviews confirm the high PPM-related concentration of organizational contribution regarding performance. Benefits can be the result of internal PMO development activities or program- or project-related results. In line with the literature, the results are concrete, unambiguous and measurable. From the papers reviewed, the majority view the term performance comprising several dimensions or even predictors of success and that respective metrics need to be aligned and set up. Strategic alignment should reflect new targets, and changes to organizational or PMO visions and goals (Kaul et al., 2018). PMO performance is likely to be increased the more mature and capable a PMO becomes over time and can be measured through performance metrics. Predictors of PMO performance include level of embeddedness, existence of common values between PMO and the organization and a rather supportive role of the PMO (Hobbs & Aubry, 2011). However, a new PMO setup of at least parts of the PMO may lead them back to a lower level of performance. The interviews also revealed that benefits are achieved on both PPM and organizational level. In contrast to benefits, PMO value is perceived rather subjectively (Eggert & Ulaga, 2002). Menger (1976) states value may comprise multiple elements, however, the main difference lies in the individual perception by stakeholders as also suggested in the subjective theory of value. PMO value can be understood as result of successfully achieved benefits and other subjective perceptions. Benefits and resulting value of PMOs accumulate incrementally over time. Discrete successful outcomes with PMOs as

contributor include items such as organizational, portfolio-, program- or project-related success. Over time, the capability of PMOs as well as their maturity may increase and may also lead to an increased number of services offered which may also increase the perceived value of the PMO. In the interviews, the majority of contributions were related to the organization itself.

As a summary, the organizational contribution of PMOs can be clustered into the three levels performance, benefits and value. Over time, the organizational value may increase which makes PMOs important for organizations as driver of knowledge, culture and mindset. However, the question needs to be answered what happens if less benefits are achieved, and performance goes down for instance in times of less projects or once a methodology has been introduced. It is not unlikely that at this point PMOs might be considered unnecessary because they produce less measurable results and finally, they become abolished ignoring the potential high value the PMO provides for the organization. By applying an ambidextrous approach of flexibility, stability, and continuous alignment, organizations are able to preserve value. The setup of a PMO needs to be understood as continuous process rather than a one-time activity. Once certain contributions have been provided or when the organization changes, an adjusted strategy is required which serves two needs: (1) value keeps retained and (2) an adjusted setup enables the PMO to provide new contributions (figure 2).

Insert figure 2 about here

Leaders and policy makers should be aware that organizational contributions of PMOs in PBOs may decline over time and it will take a considerable timespan to re-establish value once PMOs are abolished. Therefore, PMOs should be considered as value driver and changings strategies and setups over time should be considered to retain value.

CONCLUSION

This study seeked to understand the organizational contributions of PMOs in PBOs from a theory of value perspective. The literature review revealed the three main dimension performance, benefits and value. Then a framework was proposed to capture the dimensions and to demonstrate how they are linked. Finally, twenty problem-centered interviews with PMO managers have been conducted. The results can be summarized as follows: (1) the three dimensions have been confirmed, however, (2) the organizational contribution of the interviewed PMOs differs. (3) Performance is related to PPM activities, (4) benefits are achieved on both PPM and organizational level whereas (5) value is mostly related to the organization itself. This provides the answer to the first research question.

(6) To answer the second question, a framework has been proposed which shows that performance lies closest to the PMO itself, it can and should be measured regularly. Next to performance lie benefits that are, directly or indirectly, provided by the PMO. Finally, cumulated benefits and performance lead to increased perceived organizational value over time. This also underlines the high importance of PMOs in terms of value creation.

(7) To preserve value within the organization, an ambidextrous approach in the form of an ongoing redefinition of the strategy of the PMO has been proposed to balance exploitation (continuous contribution) and exploration (new strategy) and to cope with organizational changes and the fact that certain contributions have been successfully provided by the PMO but will not be required any more in the future. This might stabilize the PMO and increase the ability to increase the number of organizational contributions and value generation in PBOs which answers the third question.

Building on the theory of value, this study showed that the differentiation between measurable and not or hardly measurable organizational contributions help to understand the process of value generation in PBOs through PMOs. It provides practitioners with a rich understanding of the possible organizational contributions of PMOs in their organizations and how to increase value generation through ambidextrous approaches. For academics it provides a differentiated understanding of the organizational contributions of PMOs.

The strength of this study lies in the theoretical underpinning by applying the theory of value to PBOs. It also provides an ambidextrous view on the practice of value generation through PMOs. How every paper, some limitations need to be highlighted. Although twenty interviews have been conducted, it is not unlikely that the list of contributions omits certain dimension. Secondly, it does not provide suggestions how to measure the contributions. Future research could further investigate this to enrich the discussion. It is also suggested to conduct a survey with a larger sample to explore the topic further and to quantitatively validate the findings.

This paper contributes to the body of literature of value generation in PBOs through PMOs. To the best knowledge of the author, an ambidextrous approach for PMOs in the outlined way has not been proposed yet.

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Figure 1 – Value framework (Revised based on Kaul and Joslin, 2018)

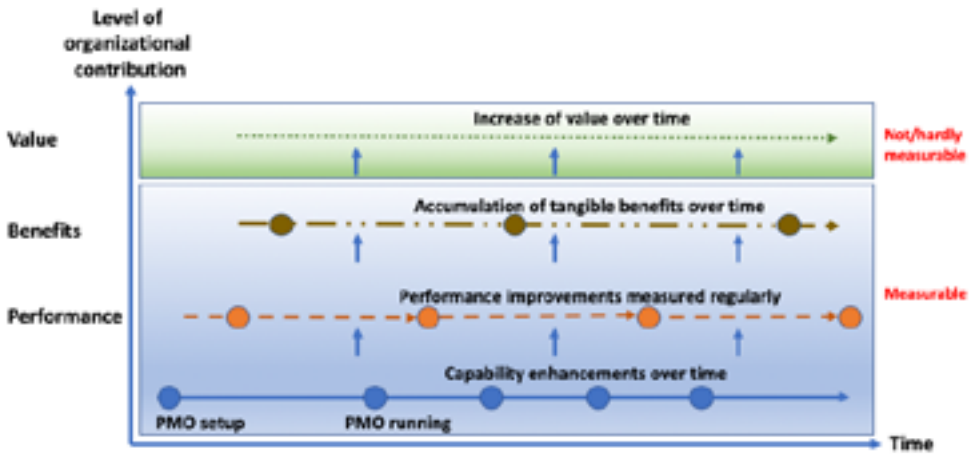

Figure 2 – Continous alignment to increase and retain organizational value

Ambidexterity in project-based organizations - A theory of value perspective

Table 1 – Organizational contributions of PMOs

Organizational contributions			Interview evidence																				
Main dimension	**Dimension category**	**Dimension in detail**	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	∑
Performance	PPM-related	Regulations are correctly met					√																1
		Increased revenue through projects	√							√		√				√	√		√	√	√	√	**9**
		Increased number of projects finished successfully	√	√		√	√	√			√		√		√	√		√	√	√	√	√	**14**
		Reduced time to market	√				√		√		√				√	√		√					**7**
		Increased number of projects delivered in time	√		√	√	√	√	√	√	√		√	√	√	√		√		√	√	√	**16**
		Increased number of projects delivered within budget	√	√	√	√	√	√	√	√		√	√	√	√			√		√	√	√	**16**
		Increased number of projects delivered in desired quality		√		√	√	√		√		√	√	√				√		√	√	√	**12**
		Increased level of agility						√		√	√	√	√			√			√	√	√		**9**
		Improved savings and expense ratio												√					√			√	3
		Increased number of defects solved												√									1
Benefits	Organizational	PMO library established		√			√		√			√		√					√				6
		Benefits realization through projects measurable			√		√	√		√	√		√	√			√	√	√	√	√	√	**13**
		Successful negotiations executed											√						√				2
		Effective resource management provided	√											√	√		√		√				5
		Documentation of minimum standards for contracts provided					√		√			√											3
		Trainings conducted	√	√			√	√	√	√			√		√			√	√	√	√		**12**
	PPM-related	**Standardization/templates established**	√	√		√		√	√	√	√				√			√		√	√		**11**
		Successful introduction of methodology	√	√							√	√			√			√	√	√			**8**
		Stage gate delivery model established	√												√								2
		Increased number of tangible results	√		√		√	√		√	√				√	√			√	√	√	√	**12**
		PM information system established					√		√	√	√						√	√	√				**7**
		Successful delivery of projects in complex environments	√		√	√	√	√			√				√	√			√		√	√	**11**
		Innovative product development is executed	√			√							√		√		√	√	√		√		**8**
Value	Organizational	Climate of no surprises established		√														√			√		3
		Climate of trust established		√									√								√		3
		Silo thinking has overcome			√		√		√												√		4
		PMO delivery perceived as important					√		√												√		3
		Successful translation of business thinking into projects				√											√					√	3
		Improved communication established			√		√		√		√	√	√	√		√	√	√	√		√		**12**
		Improved acceptance of PMO		√					√							√		√			√		5
		Increased transparency of strategic directions	√						√	√	√	√			√		√	√	√				**9**
		Continuous improvement mindset established								√	√		√				√		√	√	√	√	**8**
		Increased competence of the PMO										√	√				√						3
		Increased visibility of offered services				√								√			√	√		√			5
		Development of long-term targets achieved					√					√					√		√				4
		Culture of collaboration established			√		√				√	√	√	√			√		√		√		**9**
		Increased creation of knowledge e.g. from projects					√	√	√	√	√	√	√	√			√			√			**10**
		increased clarity around priorities		√							√			√				√		√	√	√	7
	PPM-related	Project mindset and culture in place	√				√	√	√						√			√			√		**7**
		Increased perceived customer satisfaction	√				√	√	√	√	√		√	√	√	√	√	√		√	√	√	**15**
		Increased perceived sponsor satisfaction					√	√	√	√	√	√						√			√	√	**9**
PPM: Portfolio/Program/Project management																					Median		7

Stream Number: 12
Stream Title: Public Sector Management and Not-for-Profit
Refereed Delivered Session

Regulatory Governance and the Problems of Public-Private Partnerships (PPPs) model in the Bangladesh Power Generation Sector

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Abstract

Developing countries have been pursuing Public-Private Partnerships (PPPs) in large infrastructure development projects. In Bangladesh, the lack of financial resources and managerial competence to design and implement large capital-intensive projects necessitated such a policy approach. Despite this policy incentive, private sector power generating companies have failed to generate power as stipulated in the contracts. This paper examines the difficulties of regulatory governance and challenges of state-subsidised PPP model used in the power generation sector. The findings of this study suggest that power generation has improved, but the expected target could not be achieved. It is also found that the regulatory compliance regime is very ineffective and that there is a need to frame a legal policy framework to make the private sector power generation companies more accountable.

Keywords: Regulatory governance, Public-Private Partnerships (PPP), power generation

Stream Number: 12

Stream Title: Public Sector Management and Not-for-Profit

Refereed Delivered Session

1 INTRODUCTION

The power sector of Bangladesh has been suffering from huge shortage and outage due to demand-supply mismatch. Demand-supply gap, endemic power blackouts, financial crisis and chronic investment deficiency were the common syndrome in the power sector in the early 1990s (ADB, 2009). The government responded by undertaking institutional reforms according to the prescription of the IMF and World Bank. This prescription based on 'phase-wise learning by doing approach' was carried out during 1996-2008 (ADB, 2003, 2009).

According to Zaman and Brudermann (2018), Bangladesh has experienced weak institutional arrangements and imperfect market competition in the power sector. Fuel diversification has not come into planning consideration since 1980 because domestic cheapest natural gas was used as the dominant fuel for power generation till 2006. The share of domestic gas in power generation decreased to 63 per cent in 2018 (Finance Division, 2018) from 88.22 per cent in 2005 (Finance Division, 2005). However, preserved coal is untapped for to lack of proper environmental policy initiatives and the absence of private sector companies. S. Islam (2019) demonstrates that 18 out of 19 large coal-fired power plants are far behind their stipulated operation time because of poor planning, shortage of available fund, lack of skilled workforce, and difficulties in land acquisition. Besides, the share of renewables in power generation is only 2.9 per cent (Zaman & Brudermann, 2018).

Moreover, the government has not been successful in attracting local and foreign investment in the renewable power sector. To mitigate the power crisis, the government has shifted the fuel diversification strategy to liquid fuel as a short-term policy approach. Currently, there is no visible improvement in fuel-mix for power generation. Therefore, the use of primary energy resources for power generation is not emphasised correctly due to lack of pertinent policy document, faulty strategy and delay in decision-making.

The prudential utilisation of national resources in ensuring energy security is ignored, mainly due to improper planning and delay in decision making. The government undertook a subsidy based Public-Private Partnership (PPP) model, which has failed to reduce the demand-supply gap as stipulated in the contracts. Even though the private sector has a success story in power generation, the expected target could not be achieved as stipulated in the contract. Policy analysts and academics echoed their concerns on the efficacy of the PPP model due to the lack of appropriate feasibility study and financial analysis, absence of compliance culture, weak regulatory regime, imperfect competition and improper performance evaluation (Amin, Khan, & Tasnim, 2018; A. Islam et al., 2014; M. T. Islam & Hakim, 2012; S. Islam & Khan, 2017). Moreover, most of the contracts are selected based on the unsolicited bid. As a result, the state has become a net fuel-importing country to generate power. Standard fuel-mix, compliance culture, the impact of subsidies on government exchequer, dependency on imported fuel, market oligopoly and regulatory capture have become the known features in the power generation sector.

There is an urgent need for thorough research to understand the challenges of regulatory governance and the PPP model used in the power generation sector. The purpose of this paper is to examine regulatory practices and the problems of the state-subsidised PPP model in the Bangladesh power

sector. This paper presents an extensive review of the private sector power generation policies and strategies taken by the government and suggests a direction for future development.

2 PRESENT STATUS OF POWER AND ENERGY SECTOR

According to a report on 'Bangladesh Economic Review 2018' published by the Finance Division (2018), the country's 71% commercial energy comes from natural gas. About 63% of 71% natural gas is used for power generation. However, the natural gas reserve will be depleted within 2031, considering present reserve status and rate of consumption (Halder, Paul, Joardder, & Sarker, 2015). The share of natural gas in the fuel mix will decrease from 65% in 2016 to 28% in 2030, respectively in the absence of domestic sources of gas supply.

In Bangladesh, about 884 million tonnes out of 3.3 billion tonnes of reserved coal are identified (PSMP, 2016). The government considered that coal would be the primary fuel source of power generation due to low-cost sustainable option for long-term perspectives. Accordingly, the government of Bangladesh is planning to increase the share of coal-fired power plants from 1.3% to 21% and afterwards to 50% by 2020 and 2050 respectively (S. Islam, 2019). However, preserved coal is untapped for lack of proper planning and resistance from civil society groups.

The Power System Master Plan (PSMP) 2010 and PSMP 2016 were designed considering depleting the natural gas reserve and ever-increasing power demand. The first milestone to increase installed capacity to 24,000 MW against a demand of 19,000 MW and per capita power generation to 700 kWh by 2021, as shown in Table 1 (Appendix-A). The government policy has been shifted to import liquified natural gas (LNG) due to depleting local gas reserve. The import infrastructure is under construction. However, there is no sign of local coal development yet. It is implied that the government has to rely on rental agreements and imported coal or both ways. Otherwise, the country has no way except coal import to meet the desired fuel mix. If not so, the energy subsidy is a tough challenge on the national economy.

3 PUBLIC-PRIVATE PARTNERSHIP (PPP) MODEL IN THE BANGLADESH POWER GENERATION SECTOR

The government has enacted several policies and strategies to stimulate private investment in the power generation sector. The private sector-led power generation model has attracted the attention of academics, researchers and policy analysts in recent decades. The developing countries have adopted a state-subsidised PPP model as the public sector is not fully capable of investing in capital intensive and technology-driven power sectors. In 1992, the government amended the industrial policy of 1991 to attract private sector investment in power generation based on build-own-operate (BOO) model. This amendment allowed the entry of the Independent Power Producer (IPP) through the single buyer model, one of the most common approaches of the reform process. In this model, private companies are called IPP to generate power under contract with the state.

In 1997, the private sector IPP started its journey based on build-own-operate (BOO) under PPP model (Finance Division, 2009). Bhattacharyya (2007) reports that due to political instability, Bangladesh experienced very small-scale progress from 1996 to 2003 in the power sector. Initially, the government intended to accept the single buyer model in 2004. Further deregulation allowed the private sector power generation companies under rental agreements. Figure 1 (Appendix-B) presents that the private sector's contribution in country's total power generation had increased from 38% (1432 MW) in 2004-05 to 43% (4712 MW) in 2017-18 (BPDP, 2018; Finance Division, 2005, 2018). This discussion indicates that the growth of private power generation has risen by 229%, while the share of the public sector has gradually declined from 62% to 49% during the same period.

3.1 Subsidies and Power Tariff

The government buys power from both public and private power generation companies at a negotiated bulk tariff, while the distribution companies enjoy block retail tariff to sell power to the end-users (Zaman & Brudermann, 2018). In case of Independent Power Producer (IPP), Rental Power Plants (RPP) and Quick Rental Power Plants (QRPP), the bulk tariff structure could not keep pace with the generation cost due to unpredictable and volatile international fuel market especially for diesel and furnace oil (ADB, 2011). The Bangladesh Power Development Board (BPDB) statistics show that the cost of these private sector power has risen 100-200 per cent during 2014-2016 than those of public power plants (Zaman & Brudermann, 2018). Apart from that, the private sector power generating companies enjoy two-way subsidies from the government exchequer, irrespective of the amount of power generation. As per the agreement, the subsidies are provided for buying fuel by the private sector companies and selling the generated power to the national grid.

The fuel cost of furnace oil, diesel and gas-fired power plants are [1]US$ 0.25, 0.35, and 0.0375 per kWh, respectively (Pargal, 2017). It implies that fuel cost from the liquid-oil fired power plants are over six and nine times higher than those of natural gas. In 2018, the government shifted its fuel policy to LNG, considering ever-increasing demand for power and the decreasing trend of domestic gas. It is estimated that the average cost of power generation will rise from US$ 0.094 per kWh in 2016 to US$ 0.116 and 0.156 per kWh in 2020 and 2025, respectively.

According to Mourshed (2013) and General Economic Division (2015), the 'short-sighted and ad-hoc' policy approach creates an environment of more petroleum import and subsidies accordingly. Mourshed (2013) and General Economic Division (2015) further report that the government paid 25.1 million USD as subsidies for imported oil products. The financial burden ultimately goes to the end-users in the form of rising power tariffs. It can be assumed that these lock-ins power subsidies act as a setback for investment in the infrastructure development of the power sector.

In the real sense, the government buys fuels at a higher price and resells to the rental and quick rental power plants (RPP & QRPP) owners (private) at a lower subsidised price. The government has entered into a 'subsidy trap' which causes tremendous economic pressure on her neck. EBL Securities Limited (2017) expresses deep concern on the extension of rental and quick rental power plants, which is a huge burden to the national economy. Participation of the private sector in power generation is praiseworthy. Similarly, the public partnership is prerequisite to address market failure and end-user power tariffs. Without concentrating on these issues, the rising trend of the private sector results in increasing the risk premium in the form subsidy. The above discussion suggests that subsidies and power

[1] I US $ = 80 taka (Bangladeshi Currency)

tariffs are two crucial elements which mostly depends on the management of fuel mix in power generation.

3.2 Fuel Mix in Power Generation

The effectiveness of power sector reform largely depends on the power pricing mechanism. The fluctuation of power price directly affects the national Gross Domestic Product (GDP), which is very sensitive for any government. Centre for Policy Dialogue (CPD) (2011) reports that each 1% increase in the per capita energy consumption leads to 0.23% of GDP growth for Bangladesh. Ali, Faruk, and Gupata (2012) state that power crisis in Bangladesh is due to the fuel crisis or lack of fuel management.

Though natural gas is considered as the main source in the present fuel mix that contributes 63% of total power generation, imported coal and gas will be dominant (70%) in the fuel mix in 2041, as stated in PSMP 2016. Recently, private sector companies consume 24% of imported fuel in power generation, as shown in Table 2 (Appendix-A). Table 2 also indicates that use of imported oil is increasing with the decreasing trend of natural gas. Not the private sector investment but the costly imported fuel is the main source for the energy price hike. It can be inferred that the standard fuel-mix is not only a policy priority for long-term energy security but also for rationalisation of power tariff to end-users. The government has limited options to switch from gas-fired to other fuel-based power plants resulting in having imported LNG into the present fuel mix. The depleting natural gas situation triggered to utilise costly liquid oil, especially furnace oil and diesel since 2009.

4 PROBLEMS OF PPP MODEL IN THE POWER GENERATION SECTOR OF BANGLADESH

The PPP model used in power generation is different from the traditional contractual arrangement. The experts and academics have criticised this subsidised policy initiative due to several reasons such as the absence of compliance culture, weak regulatory regime, imperfect competition and improper performance evaluation (Amin et al., 2018; A. Islam et al., 2014; M. T. Islam & Hakim, 2012; S. Islam & Khan, 2017). Though the PPP policy arrangements have markedly increased power generation from 4130 MW in 2007 to 11,623 MW in 2018 (Finance Division, 2017; Power Cell, 2018), this partnership model is not sustainable.

There are two types of arrangements under the PPP model, such as ‘cost-plus’ and ‘take or pay.’ In the ‘cost-plus’ contract, the government (buyer) has to pay more than a reasonable amount and possibility to be cheated by the producer cum seller. If it is ‘take or pay’ arrangement, the scenario would be from bad to worse. In such a situation, the government has to pay if it does not intend to buy power because of one or any reason. Under the agreement, the government is bound to purchase fuel for rental power plants whatever the price of oil in the international market. The asymmetric information and the pricing rate of power from private companies negatively affect PPP contract management. Despite financial and management incentives of the state-subsidised PPP model, the private power companies have failed to generate the agreed power as per contract. The review of the literature identifies that non-compliance culture, imperfect competition, price capping, high-risk premium, a small number of bidders, irregularities, captured regulatory effectiveness, and shortcoming of policy design contribute to the failure of PPP model.

4.1 Institutional Incompetency

Developed countries like Australia, Canada, and the USA have well-developed PPP model, stable macroeconomic environment, and much more predictable market forces (Cheung, Chan, & Kajewski, 2012). Developed countries also have the institutional expertise to perform the feasibility study and critical financial analysis for any large projects including consistent policies, and competition watchdog.

However, the PPP model does not work in developing countries like Bangladesh though it is operating in a free market economy. Uddin and Taplin (2008) argue that organisational inefficiency, political interference, inappropriate policies and insufficient funding act as barriers in sustainable energy development in Bangladesh.

The disclosure of energy information is a challenging task due to a weak institutional framework and its controlled disclosure mechanisms (Zaman & Brudermann, 2018). Asymmetric reporting system, top-down decision-making mechanisms and non-transparent regulatory institutions contribute to the resource-poor scenario. Moreover, the power generation data and information are overrated. Various public authorities release different figures for the same timeframe. Likewise, the private sector companies did not disclose any information due to secrecy for profit margin and contract conditions. People rely on only the media reports for information. It implies that the absence of market mechanism and information obscurity contribute to institutional ineffectiveness.

4.2 Lack of Competition

The uncompetitive procurement leads to increased costs, a significant delay in project completion and even the bidder does not take any responsibility regarding risks. The resultant effect is the small number of serious bidders participate; for example, only two bidders took part in Bibiyana I project. Khan, Riley, and Wescott (2012) state that the reason for taking a few bidders may be to limit evidence of transparency. The private sector investors have little or no experience, or even qualification criteria have been relaxed or absent to some extent, especially for rental and small IPPs (Khan et al., 2012). For example, some furniture and denim manufacturers took part in IPPs bidding. As a result, it adversely affects not only the quality of the projects but also impart risks and uncertainty and subsequently pressing the national economy.

The private sector power generation policy 1996/2004 document does not entitle unsolicited project (Asaduzzaman, 2008). However, the private sector infrastructure guidelines 2004 allows the unsolicited projects as a prequalified proposal for tendering upon approval of Cabinet Committee on Economic Affairs (CCEA) (Prime Minister's Office (PMO), 2004, p. 12). It appears that the unsolicited bids do not need to go for a competitive process. Similarly, EBL Securities Limited (2017) cautions that the government has been permitting some private companies based on unsolicited bid to construct power plants within the stipulated timeframe under the 'Power & Energy Fast Supply Enhancement (Special Provision) Act 2010'. However, competitions are not yet seen among electric utilities. The government has the responsibility and authority to transfer, distribute and to retail power to the end users.

Oligopoly is a function of nexus between the state bureaucracy and industrial class. It seems that some sort of oligopoly was established in the power sector in the absence of regulatory and market mechanisms. Dysfunctional competition and lack of watchdog and media also accompany to the oligopoly market condition and afterwards influences the regulatory authorities. Since the power sector is vital for development and the government does not take any serious action against the nexus. If so, the whole system will be collapsed, and the government will be unpopular because of this sensitive and

delicate issue. It implies that the economic aspects of the private power generation will be secondary things, and it is the power politics of Bangladesh.

4.3 Ineffective Contract Management and Lack of Accountability

Bangladesh is a novice in PPP implementation. Not all the relevant rules and regulations are yet to established in PPP arena, especially in the power sector. All the risks and uncertainties remain with the public sector, not with private companies. The government set up a Power Cell in 1995, which is mainly responsible for promotion, development, implementation, commissioning and operations of power projects (Ministry of Energy and Mineral Resources, 1996), not dealing with contracting effectiveness. The mechanism in contract management is hardly found in the PPP model.

The public sector suffers from both sides - specific knowledge and contracting skills. As the public sector is new in PPP contracting, therefore 'learning by doing' approach is followed in implementation. However, the contract does not clearly say what is in and what is not. In these circumstances, monitoring and evaluation are greatly affected that leads to the poor performance of power generating companies. Nonetheless, there is no penalty on poor performing companies. These companies got the license renewal again and again.

Under the PPP model, many of the underlying risks are not reasonably insured (Khan et al., 2012). The contracts would find default, and the private parties demand renegotiation due to the uncertainties and changes in local and global circumstances. The contracts are remained as incomplete and not readily addressed. Several studies suggest that contract efficiency is inversely proportional to the number of renegotiation (Engel, Fischer, & Galetovic, 2006; Guasch, Laffont, & Straub, 2006; Hong & Shum, 2002). The informal relationship with influential politicians and private companies create a culture of non-compliance that interferes with efficient PPP contract management. Tariff structure hinders power generation costs. Moreover, the extension of subsidy policies despite poor performance leads to the unreliable and non-cost-effective sphere of power generating environment. As a result, the vital few players capture the market, demand higher power price and enjoy a more substantial profit in the market.

4.4 Limitations of Policy Design and Implementation

In 2008, the government formulated policy guidelines to harness competition and boost up PPP in power generation (Power Division, 2008). This policy direction describes 'proven financial capacity' and 'proven experience' as a requirement for qualified investors. However, this policy guideline does not indicate 'how much' financial capacity and 'how many' years' experience for private investors. This ineptness makes the way to enter inexperienced or less competent players into the power market.

Shortcomings of the PPP policies also affect the implementation stages of power generation. Many inbuilt deficiencies of the PPP model have come across due to inadequate financial analysis and feasibility studies. For example, it is observed that the uncompetitive bidding process and use of inefficient second-hand machinery and equipment contribute to the poor performance of rental power plants (A. Islam et al., 2014).

There is no mechanism to measure the power generated by the power plants using a certain amount of fuel. Generation of power depends on the plant type, efficiency of the plant and fuel quality. There is a tendency of misreporting to maximise profit by hiding the actual power generation. A study by Ali et al. (2012) found that the actual power generation is less than what is said from the government. These misreporting and malpractices are taking place due to faulty policy instruments, absence of regulatory watchdogs and their inappropriate implementation.

4.5 Stress on the Government Exchequer

To meet the development goal of the power sector as stipulated by PSMP 2010 and PSMP 2016, the government has to depend on other ways such as liquid fuel, and LNG rather than domestic gas. Nonetheless, all these costly alternatives create tremendous pressure on the national exchequer and subsequently, to other socio-economic development sectors of the country. Finance Division (2018) illustrates that the import of refined diesel, octane had been increased from 26,34,212 MT in 2009-10 to 48,87,769 MT in 2017-18. The required volume and monetary value for petroleum import have been escalated to 85% and 80% respectively over this period. The upward trend of international oil market price and growing power demand are liable for increasing cost of oil import.

During 2009-2019, the government spent 11163 million US$[2] as loan and subsidies for power and energy sector through Bangladesh Power Development Board (BPDP), Bangladesh Petroleum Corporation (BPC) and Petrobangla (government-owned only national oil company) (BPDP, 2018; Finance Division, 2018). Out of which, the lending share by the BPDP and BPC were 60% and 35% respectively. The end-user tariff is raised again and again to reduce pressure on the balance of payments. As a result, the ultimate burden resulting from the 'short-sighted' and 'ad-hoc' energy policies goes to the taxpayers that make the economy stressed.

4.6 Increase Dependence on Imported Oil and LNG based Power Generation

Most of the RPP and QRPP has got 3-5 years extension in 2018 after their retirement phase during 2014-2017("Bhola quick rental power plant likely to get extension again," 2018; "Fuel import surges on higher demands from rental power plants," 2018; Jahangir, 2017). It is reported that the operation of RPP and QRPP will continue until 2024. The government fixed slightly lower tariffs (less than 1%) despite their no fixed cost. One of the reasons to import more fuel due to the operation of these old and less efficient RPP and QRPP (Moazzem & Ali, 2019). Till today, the government has no clear-cut exit plan from these costly and fuel-inefficient rental options. Figure 2 (Appendix-B) shows that power generation from rental power plants is the highest, followed by IPP during 2010-2018. However, till today, the cost of public power plants are the lowest due to use of cheap natural gas. If the government will not take the necessary steps to utilise domestic resources from costly fuel import-based power generation, the country will gradually be dependent on import fuel, and the demand for subsidies will also rise.

In 2017, the energy sector received 340 million USD (78 % of total FDI) from China, India, Japan, Singapore and South Korea. Also, involved intellectual property rights restraint the required access to the imported technologies. This limitation leads to long-term dependency for new capacity installations and technical capacity development (Suzuki, 2015), which creates an economic threat to the operation and maintenance of these power plants as well. Recent past the government policy has been shifted

[2] 1 US $ = 80 Taka (Bangladeshi Currency)

from coal to import oil and LNG due to the stagnant situation in the gas discoveries and cut back in gas reserve. It implies that more extended period is needed to overcome such a barrier to ensure affordable power for all by 2021.

4.7 Regulatory governance and its capture

The private sector companies under PPP model have an immense contribution to power generation. However, this involvement cannot be a panacea for the power crisis of Bangladesh. Other reform measures have to be considered in ensuring affordable and sustainable power for all. There is a tendency to have the imperfect market condition due to unequal and meagre market players, the inflexibility of price, monopoly and imbalance between upstream and downstream factors of entry in the market. It is unrealistic just to let the market taking care of the total effectiveness of the power sector.

Many regulators are not skilled enough and have not any capacity to do their activities. As a result, they have outsourced their regulatory functions due to their incapacity and lack of skills (Trémolet, 2007; Trémolet, Shukla, & Venton, 2004). According to Debnath and Mourshed (2018), the average capital cost of establishing a power plant in Bangladesh is twice than that of the global figure. Their analysis finds a positive correlation between corruption and the construction cost of a power plant in Bangladesh. The expenditure of power projects has been increased due to the lack of transparency and the absence of competitive bidding in the power and energy sector ("Free power, energy sector from graft, ensure transparency ", 2019, March 10).

In Bangladesh, underperforming private sector power generation companies do not comply with terms of the contract. Very often, these companies get the opportunities of renegotiation instead of being penalised. However, they enjoy several benefits, including getting a bank loan, subsidies and extension of the lease agreement again and again. The government enacted the 'Power & Energy Fast Supply (Special Provision) Act 2010' offering indemnity to private sector power plants to promote investment in power generation in 2010 (Parliament Secretariat, 2010). This *Special Act* was amended in 2015 and 2018, respectively to extend the indemnity period up to 11 years ("Fuel import surges on higher demands from rental power plants," 2018; "Special provision extended for 3 more years," 2018; "Speedy Power Supply Act to get 4-yr extension," 2015). These practices suggest that Bangladesh power sector suffers from weak and ineffective regulatory governance structure that leads to the capture of the power sector by the vested interested group and influential elites.

The ineffectiveness of the regulatory regime is evident as one of the core issues in PPP project monitoring. Honda (2017) emphasises on robust regulation for market force and demands a holistic approach to evaluating its impacts. An increase in power tariff occurs due to the absence of a robust regulator (Joskow, 2006, p. 24). Bangladesh experience, as shown in Figure 3, presents the factors affecting regulatory governance and the reasons how regulatory institutions are captured. Imperfect market mechanisms, poorly drafted policy documents and non-compliance culture between the public and private sector companies have created an ineffective regulatory environment through forming a nexus and making the partnership model ineffective in practice.

5 CONCLUSION

The introduction of private sector companies in power generation through state-subsidised PPP model was a short and quick step to come out from severe power famine. Despite having some success in private sector power generation, it is clear that the whole generation system is in a subsidy trap. Therefore, regulatory effectiveness, market competition, monitoring and evaluation mechanisms and establishment of a compliance culture are crucial for secure and sustainable power generation. An accelerated private sector investment needs a legal framework for capacity enhancement in power generation, transmission and distribution network.

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APPENDIX – A

LIST OF TABLES

Table 1 Prospective Plan for Power Sector Development

Description	2018 (Augst'18)	2021 (PSMP 2010)	2030 (PSMP 2010)	2041 (PSMP 2016)
Installed capacity (MW)	19,202	24,000	40,000	60,000
Power demand (MW)	12,000	19,000	33,000	52,000
Per capita power generation (kWh)	464	700	715	1475
Access to power (%)	90	100	100	100

Source: Finance Division (2018); (Power Division, 2011, 2016). Note: Including 2,800 MW Captive Generation.

Table 2 Power Generation (National) by Fuel type as of percentage

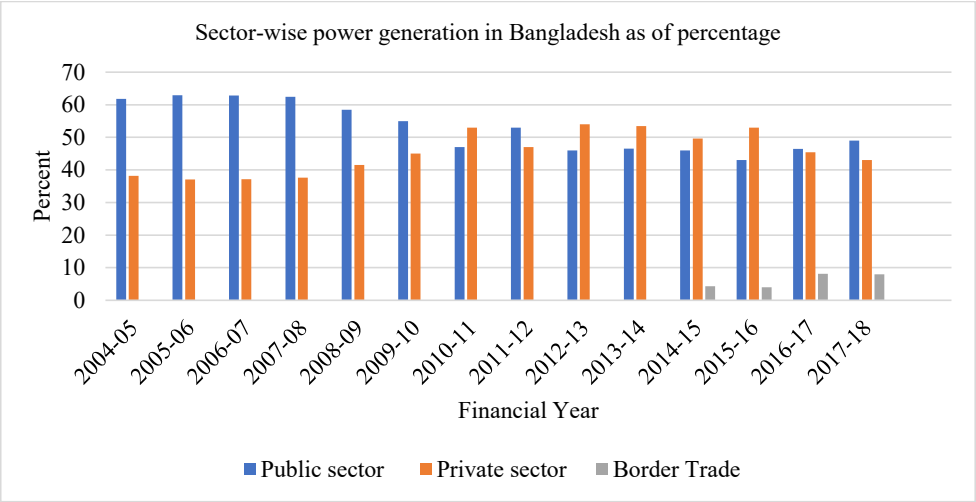
Fiscal Year	Natural gas	Coal	Oil-based		Hydro	Import power
			*HFO	**HSD		
2004-05	88.22	-	5.89	1.34	5.89	-
2005-06	88.56	1.65	5.58	1.50	2.71	-
2006-07	87.25	4.67	4.42	1.21	2.45	
2007-08	86.25	4.27	5.57		3.91	-
2008-09	88.79	3.90	3.77	1.57	1.57	-
2009-10	89.22	3.52	4.77		2.49	
2010-11	82.12	2.49	5.68	6.93	2.78	-
2011-12	82.12	2.49	5.68	6.93	2.78	-
2012-13	79.15	2.52	11.86	4.27	2.21	-
2013-14	72.42	2.46	15.44	2.91	1.39	5.37
2014-15	69.44	2.05	16.18	3.72	1.24	7.37
2015-16	68.63	1.62	16.62	3.95	1.84	7.32
2016-17	66.44	1.76	17.37	4.59	1.71	8.13
2017-18	63.50	2.70	17.31	7.00	1.63	7.63

Sources: Finance Division (2018); Note: *Heavy Fuel Oil (HFO); ** High-Speed Diesel (HSD)

APPENDIX – B

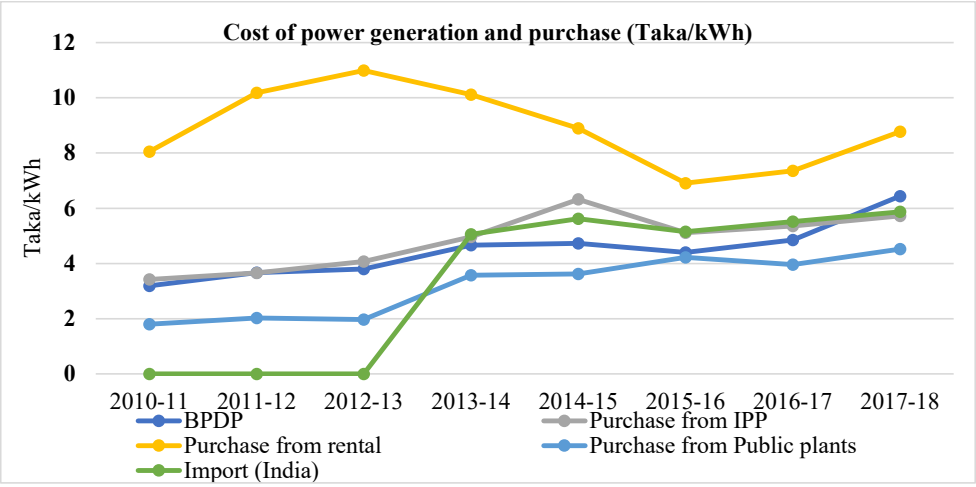
LIST OF FIGURES

Figure 1 Sector-wise Power Generation in Bangladesh as of Percentage



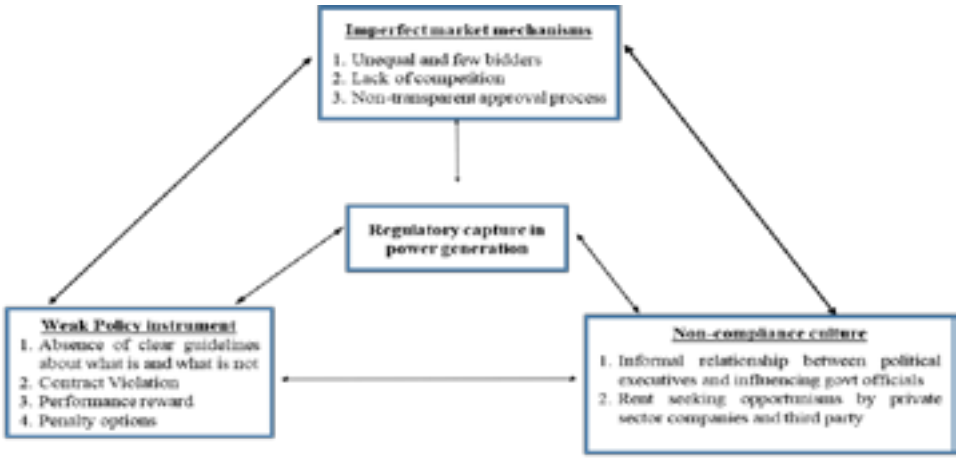
Source: Authors calculation from different sources: Bangladesh Power Development Board (BPDB): Annual Reports, 2007-2018 and Finance Division, Bangladesh Economic Review 2004-2018.

Figure 2 Cost of Power Generation (Taka/kWh)



Source: Bangladesh Power Development Board (BPDP): Annual Reports, 2009-2018

Figure 3 Regulatory Capture in Private Sector Power Generation



Source: Authors own work

Stream 10: Organisational Behaviour
Refereed Delivered Session

Leaders' experiences of, and responses to employee psychological contract violations

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ABSTRACT:

This paper examines how leaders experience violation in their psychological contracts with their followers and their efforts toward managing such experiences. While there is an abundance of studies on employee perceptions of the organisation breaching the employee-employer psychological contract, we have limited knowledge of violation from a leader's perspective. Some research suggests that leaders can also experience contract violation, with negative consequences for their work and team functioning. We develop a framework that is sensitive to the leader role to explore what triggers a leader to identify an employee contract violation, their responses and the ensuing outcomes. Results from in-depth interviews with 35 managers are presented and highlight the complex processes leaders engage in to manage the experiences of contract violation and its aftermath.

Keywords: (psychological contract violation, leaders, post-violation outcomes, team functioning)

Stream 10: Organisational Behaviour
Refereed Delivered Session

INTRODUCTION

The psychological contract refers to the implicit and subjective beliefs between two parties regarding their reciprocal obligations (Robinson & Rousseau, 1994). The contract may be breached (perceived unfulfilled obligations from the other party), which can result in strong negative, emotional reactions from the aggrieved party (Morrison & Robinson, 1997). Given the literature's dominant focus on employee perceptions of contract breach, including emerging theory on how employees manage such adverse experiences (Rousseau, Hansen, & Tomprou, 2018; Tomprou, Rousseau, & Hansen, 2015) and empirical work on how employee-perceived violations are resolved (Bankins, 2015; Schalk, De Ruiter, Van Loon, Kuijpers, & Van Regenmortel, 2018; Solinger, Hofmans, Bal, & Jansen, 2016), we have very limited knowledge about such experiences from the organisation's perspective, or more specifically a leader's perspective. This is despite research suggesting leaders can also experience contract violation from employees, with negative consequences for their own work and their team's functioning (e.g. Nadin & Williams, 2011; Tekleab & Taylor, 2003).

To address this gap, this paper examines how leaders experience violation in their psychological contracts with their followers and their efforts toward managing such experiences. We challenge the boundaries of existing employee-focused models of contract violation responses and extend them to explore how leaders manage the post-violation aftermath towards sustainable outcomes for their organisational status and their team. Drawing from self-regulation and conservation of resources theories, we propose certain factors that differentiate leaders from other employees and how these will affect the process of violation resolution. These mechanisms relate to the leader's resource availability and coping style repertoire. In contrast to employee victims, leaders may also need to manage the aftermath of violation with a potentially wider range of stakeholders such as senior managers, team members, clients, and the transgressor. Here, we focus on the leader's relationship with the individual 'violator' or transgressor and the broader team.

Implications for leaders' psychological contract management and leadership development are explored.

EXISTING THEORY AND RESEARCH

Recent theoretical and empirical work is explaining employees' post-violation responses. Tomprou et al.'s (2015) post-violation model focuses on self-regulatory processes and suggests that the perceived likelihood of violation resolution, premised upon perceived organisational responsiveness and the availability of self-based and organisational resources, shape the coping behaviours of employees and their subsequent contracts. Empirical work also shows that employees actively seek to repair the experienced breach or violation events through specific coping actions (Bankins, 2015). Upward dissent coping strategies and past experiences of breach can contribute to violation resolution (de Jong, Rigotti, & Mulder, 2017; Griep & Vantilborgh, 2018; Schalk et al., 2018), and that overall the recovery process is complex and non-linear (Solinger et al., 2016).

We know little about how leaders may respond to their employee contract violations and whether current research on employee victims may apply to leaders as 'victims' with the employee or follower being the 'transgressor'. Using a sample of small business owners, Nadin and Williams (2011) identified three types of violation incidents: an employee's exit, an employee's refusal to carry out their duties, and employee theft. Such incidents triggered emotional responses similar to employee victims who experienced employer contract violations (Robinson & Morrison, 2000; Rousseau, 1989). Their work also suggests that leaders' responses to employee violations will vary from those theorized in the employee-employer exchange, for example in terms of their need to re-assert power, clarify team behaviour norms, and a reduced focus on the need to necessarily restore trust with the transgressing employee (Nadin & Williams, 2011). Although Nadin and Williams' research did not extend beyond psychological reactions and is based on small business owners, they provide evidence that leaders also experience employee contract violation and associated negative

feelings. This confirms the need to explore different mechanisms to explain leader responses to employee contract violation beyond those proposed by post-violation theory (Rousseau et al., 2018; Tomprou et al., 2015). This paper explores whether leaders experience violation from their team members, how managers respond to employee psychological contract violation and the impact this has on post-violation outcomes at both individual and team level.

GUIDING THEORETICAL FRAMEWORK

We draw on self-regulation and conservation of resources theories to explore the violation aftermath when a leader is the 'victim'. We term this framework 'guiding' as the aim is to sensitise us to potential differences in leader responses to employee violation, compared to employee responses. Therefore, in conjunction with this guiding theory, we will also be guided by our qualitative data to develop a model explaining managers' experiences and post-violation resolution processes and the boundary conditions to these processes.

Self-regulation and conservation of resources (COR) theory

Self-regulation explains the intra-individual processes that individuals use to maintain and reach their goals (Vancouver & Day, 2005). Research shows that leaders engage in a process of making choices about what goals to pursue and how to pursue those goals, which necessitates a sensemaking evaluation of events and information (Krasikova, Green, & LeBreton, 2013). Therefore, self-regulation offers a mechanism to explore how managers effectively make sense of events and information to cope with contract violation depending on what goals they have set, and the degree of importance attached to each goal. Tomprou et al. (2015) use self-regulation theory to develop a post-violation model and suggest that individuals seek to attain set goals when resolving contract violation. We apply this conceptualisation to leader-employee psychological contracts to explore how managers set and pursue goals and how their goals shape responses to employee contract violation.

Beyond self-regulation, leaders accrue resources as a result of their role within the organisation. We apply conservation of resources theory to explain how managers use their resources to respond to employee psychological contract violations. COR theory has been used to explain psychological processes that drive individual responses to stressful situations (Hobfoll, 2002). Applied to psychological contracts, COR theory explains how individuals respond to violation depending on resource availability, depletion or loss (Kiazad, Seibert, & Kraimer, 2014). While the type and number of resources available to leaders can be numerous, the focus in our model is on these resources that help leaders attain their goals (Halbesleben, Neveu, Paustian-Underdahl, & Westman, 2014). Instrumental resources such as power and status and relational resources such as relationship quality are critical to leaders and may shape their responses and management of psychological contract violation and its aftermath. Following from COR theory, this paper theorizes that at the individual level, resource loss such as power or status threat will play a key role in violation responses. After an employee violation, perceived obligations between the leader and follower will be detrimentally affected and the leader is likely to activate certain resources to manage such disruptions that may jeopardize team cohesion and his or her personal stance in the company.

Beyond the fallout with the transgressing follower, leaders' responses to an employee failure to meet their obligations is likely to affect the overall functioning of their team. When responding to employee violation, leaders often have to take into account the team's cohesion and often re-assert team norms and policies to avoid similar experiences (Nadin & Williams, 2011). The caveat for the leader is that through social information processing, team members observe and adopt the actions, attitudes, and behaviours of others (Conway & Briner, 2005; Salancik & Pfeffer, 1978), implying that if one employee violates their obligations, this may have a rollover effect to other team members (Nadin & Williams, 2011). Thus, how leaders deal with such adverse experiences and communicate them to the rest of the team can have implications for teamwork and performance.

The Post-Violation Psychological Contract

A remaining question is the form of leaders' post-violation psychological contracts and what may define a functional versus a dysfunctional post-violation contract. We explore this post-violation psychological contract with a focus on managers that experience violation and remain with the organisation. Tomprou et al. (2015) identify functional and dysfunctional post-violation psychological contract states that are similar to how the leader will view their relationship with the follower as the transgressor. Functional states include *thriving,* where the new contract has more favourable terms than the old one and *reactivation,* where the contract is reinstated to its pre-violation state. Dysfunctional states include *impairment,* where the new contract is less attractive than the violated one and *dissolution,* where rather than accepting a new contract with different terms, the violated individual remains in an ongoing cycle of felt violation (Solinger et al., 2016; Tomprou et al., 2015).

METHODS

Sample and Sampling Strategy

The study was conducted in medium – large sized organisations in New South Wales (NSW) Australia. A medium size organisation employs 20 – 199 employees while a large organisation employs over 200 employees (Australian Bureau of Statistics, 2017). The sample was selected using purposive sampling to select a group of managers that were representative in terms of key managerial characteristics, such as experience in the managerial role and the number of subordinates supervised (Teddlie & Yu, 2007). Two criteria were used to identify managers; first, the number of subordinates supervised to capture multiple relationships and competing demands (Alcover, Rico, Turnley, & Bolino, 2016). Second, the length of time in a managerial role to cater for the dynamic nature of psychological contracts over time (Schalk & Roe, 2007). In line with previous research on middle managers, a minimum of two subordinates and an average tenure of two years in a supervisory role was considered appropriate for the study (Spreitzer, 1996). A total of 35 interviews were conducted for this study and this sample was considered adequate for the study

given that participants were selected from different organisations (Saunders & Townsend, 2016). Refer to table 1 for characteristics of the sample.

Insert Table 1 about here

Data Collection

Data were collected using semi-structured interviews as they are suited to understanding individual perceptions of events such as leaders' experiences of psychological contract violation; how they make sense of it, how they respond to it and how contract violation impacts the manager, the violator and the larger team (Nadin & Williams, 2011; Parzefall & Coyle-Shapiro, 2011). The interviews were centred on the critical incident technique (CIT), which entails procedures for gathering data about events that have had significant impact within defined criteria (Flanagan, 1954). Managers were asked to recall and describe an incident where a team member failed to meet their commitment to the manager as well as the actions they took in response to the incident. Interviews lasted between 40 minutes and 60 minutes and were tape recorded.

Data Analysis

Interviews were transcribed verbatim and analysed using thematic analysis technique. Thematic analysis entails a process of coding qualitative data which allows the researcher to identify and capture themes and patterns that describe the phenomenon (Boyatzis, 1998). This study used hybrid method of thematic analysis involving both inductive thematic analysis and deductive a priori codes (Fereday & Muir-Cochrane, 2006). With inductive thematic analysis, coding was data driven; initial codes were generated in a bottom up way and aggregated into themes (Johnson & Joshi, 2016). On the other hand, codes were also generated from existing literature on psychological contract violation and the guiding framework proposed.

RESULTS

Findings are all from the manager's point of view and are structured around the following main themes / codes generated during data analysis: the commitments managers and their team members make to each other, managers' experiences of employee psychological contract violation, impact of violation, managers' responses to violation and post-violation outcomes.

The commitments managers and their team members make to each other

We defined commitments as obligations that managers personally exchange with their team members, which are often unwritten and unspoken, but can also be explicit. These can also be obligations that both manager and team members have to each other or the agreements managers personally believe that they have established with their team members. Commitments are important to understand because research suggests that if both parties (e.g. manager/team member) understand their commitments to each other, positive outcomes will generally ensue, for example higher likelihood of expectations being met and higher performance.

Managers identified several commitments that they believed they made to their team members as well as commitments they believed their team members made to them. These were coded and aggregated into themes presented in table 2.

Insert Table 2 about here

Managers' experiences of violation

All managers reported experiencing a psychological contract violation from one or more of their team members. The violations resulted from what managers perceived as a team member's failure to meet an obligation to the manager, the team or the organisation broadly. Beyond the unmet obligation, violation often triggered strong, negative, affective reactions in the manager experiencing the repercussions of the violation. Managers expressed different emotional reactions

to the violation, including being stressed by the incident, anger, disappointment, frustration and loss of control. This had significant impact on not only the manager, but their team as well.

Violations were recorded either as one-off incidents where a team member failed to meet an obligation on one occasion or as a series of repetitive events where a team member repeatedly failed to meet an obligation despite continuous support from the manager. In some instances, managers experienced violation for prolonged periods because either the team member involved is a critical part of the team or no one was willing to address the issues with the transgressor. In terms of the types of violations, incidents were either task focused relating to failure to meet job requirements or relationship focused involving failure to meet emotional and interpersonal (loyalty) obligations which impacts relationships with manager, team and or clients. Refer to table 3 for examples of violation incidents, their occurrence and type.

Insert Table 3 about here

Impact of violation

Managers reported the impact of violation incidents on various aspects related to their own and their team's work experiences as well as impact on clients and organisation-wide impact where violation incidents led to financial loss. Although incidents involved one employee failing to meet their obligations to the manager, most of the incidents impacted the wider team negatively as expressed by managers;

"The incident created more work for the team which led to longer hours as the team tried to catch up with the work"

"…because they did not use the therapeutic approach that was recommended, the rest of the team now have to deal with the behaviour of the resident as a result of the transgressor's actions"

As a result of the impact on various aspects as recorded above, managers had a sense of responsibility to respond to manage the impact that incidents had. Over 70% of managers felt a sense of responsibility for such incidents.

"I had a feeling of responsibility when I was doing it like I do need to be responsible for the team and their actions because not only does it help the firm, it also helps the team"

".... I made a mistake with recruiting this person. I felt very responsible for inflicting that person on the organisation"

"I am understandably responsible for them; I take responsibility for the teams' actions"

Responses to violation

Managers used a mix of both informal and formal approaches, often starting off with an informal approach before progressing to a more formal approach. The progression from informal (such as having a friendly and unofficial discussion with the transgressor) to formal and structured processes (such as performance management or disciplinary process) happened in instances where the informal approach was not effective in resolving the issue and the manager felt the need to use a firmer approach. Examples of informal and formal responses to violation are included in table 4.

Insert Table 4 about here

The decision between informal and formal approach was also dependent on the severity of the incident where the manager felt the need to send a stronger warning to the transgressor and sometimes to the team to reassert power and authority.

In some instances, efforts to resolve the violation resulted in the transgressor's employment being terminated. It is noted that in majority of the incidents that ended in termination, the manager's initial response was informal, but this progressed to more formal procedures leading to termination of employment.

The informal or formal actions taken above were directed at the individual transgressor. However, beyond dealing with the transgressor, managers indicated the need to also take action directed broadly at the team to manage team behaviour, reiterate desired / appropriate behaviour and prevent recurrence of the incidents among other team members. Some of the actions taken include:

"I rolled out refresher training for the team. So I usually put that together as a presentation for other stakeholders but what came out of that was the realisation that we actually need to make it compulsory to my team to say well if you have been on the job say for example a year or two then you still need a refresher"

"At the same time, I built a fairly basic quick tool to monitor the output of the interaction (between the vendor and the team) on a weekly basis so I can see a lot closer now how the work is progressing, the entire team is required to use the tool"

Post-violation outcomes

We explored the post-violation psychological contract for managers, where managers reported on the status of their relationships with the transgressor, the team and their senior (immediate) manager as they were all impacted by the violation incident. Results show that there was both negative and positive impact on managers' relationships which shaped the post-violation contract. There were instances where the violation incident had negative impact in one relationship and positive impact in another as well as no impact on one or all relationships (refer to table 5).

Insert Table 5 about here

DISCUSSION

In line with our findings and discussion, we propose a model detailing the violation resolution processes and outcomes for managers (figure 1).

Insert Figure 1 about here

The results show that leaders have psychological contracts with their team members, with associated negative reactions and outcomes in cases where employees violate the contract. This finding is in line with previous research on employee experiences of psychological contract violation and its negative consequences (e.g. Morrison and Robinson, 1997; Robinson and Rousseau, 1994). The results further support findings on *employer* experiences of psychological contract violation (e.g. Nadin & Williams, 2011). Two types of violations were identified, task-focused and relationship-focused violations, aligning with Rousseau's (1990) categorisation of psychological contracts as either transactional (performance based) or relational (loyalty based).

In response to violation incidents, managers used either informal approaches involving a friendly or unofficial discussion or formal approaches using more official and documented channels. In making the choice about pursuing either approach, managers sought to deal with the violation in a way that minimised disruption to team cohesion and work. This aligns with self-regulation theory and the processes managers use to achieve their goals (Vancouver & Day, 2005). While a team member's failure to meet an obligation may jeopardise set goals, the manager applies self-regulation in response to ensure minimum team disruption. Ultimately, managers responded with the means they thought would be the most effective in resolving the violation and ensuring that work continued, and set goals were met (Tomprou et al., 2015). In some cases, there was a shift where a manager initially applied an informal approach and then moved to a formal approach. This is consistent with previous research (Nadin & Williams, 2011) signalling the seriousness of violation

incidents, which then necessitates a shift from a relational exchange to a more formal and transactional exchange between manager and transgressor.

The findings revealed instances where managers experienced contract violation for prolonged periods because the transgressor was a critical part of the team and the manager's power was limited. Here, the transgressor was in a 'higher power' position than their manager, as the manager was dependent on them for results. This challenges previous research on power and the social hierarchy, in which the leader has more power than the follower and is in position to take action and or determine post-violation outcomes (Grover, Hasel, Manville, & Serrano-Archimi, 2014), to demonstrate outcomes when the follower is in a high power position.

Further to the resolution efforts, managers took action directed at the broader team, a significant difference in post-violation processes compared to employee responses. First, actions directed at the team were used where the violation incident was observable by the team. In this instance, managers were aware that team members could engage in similar behaviour in future. This finding is consistent with the notion of social information processing (Nadin & William, 2011). In taking such action directed at the team, managers acknowledged the possibility that other team members observing the violation may engage in similar violations and this had to be managed (Conway and Briner, 2005). Thus, the actions leaders took that were directed to the team helped to re-establish team norms and communicate to the team that the manager was 'in charge' and taking all necessary steps to deal with the incident (Nadin & William, 2011). Second, actions directed towards the broader team were taken where the manager perceived a loss of control or they felt that they were no longer in charge of the team as a result of the violation incident. Thus, they felt the need to respond to the violation in a way that communicated that they were still in charge of the team. This is similar to resource loss and consistent with COR theory where individuals activate their resources to manage stressful events (Kiazad, et al., 2014). Managers therefore activated their

power resource to manage violations, which signalled to the team that the manager was still 'in charge' and was a way for the manager to re-assert their power and authority within the team.

Managers' post-violation contracts with the transgressor were varied with results indicating states such as positive, negative or unchanged. In some instances, the transgressor's employment contract was terminated which effectively ended the psychological contract with the manager. This is consistent with contract states proposed by Tomprou et al. (2015). Positive relationships in the violation aftermath indicate thriving contract states while unchanged relationships were similar to reactivation where the new contract approximates the pre-violation state. On the other hand, negative relationships resembled impaired contract or dissolved states, which in some cases led to the transgressor exiting the organisation.

Several factors determined whether the post-violation contract was positive or negative. First, transgressor attitude and whether the manager perceived the transgressor to be meaningfully engaging in resolution efforts was influential. In instances where the transgressor was not seen to be making the necessary changes, this effectively led to their employment contract being terminated (PC dissolution). Second, the team's perception of action taken in terms of whether it was fair and effective given the impact of the violation on the team (e.g. disruption of work, increased workload). Where the team perceived the resolution to be fair and effective, this resulted in a positive contract with the manager (PC thriving) while actions perceived as unfair or harsh led to negative contracts (PC impairment). Third, senior manager satisfaction with the action taken (by the manager dealing with the employee violation), how fast action was taken and how effective it was in resolving the violation. Where senior manager was satisfied with the action taken, it increased their confidence in the manager dealing with the employee violation, resulting in a positive contract (PC thriving). However, in cases where the senior manager perceived the action taken as ineffective or preferred a different action to be taken, this led to a strained (negative) contract (PC impairment). These factors

also contribute to the complexity of managers' violation resolution processes, different to employee violation resolution processes.

CONCLUSION

This paper aimed to investigate two important questions. First, whether leaders experience violation from their team members and (if so) whether and how the post-violation and resolution processes resemble the ones of employee victims. Preliminary results presented indicate that leaders experience violation from their team members, with associated negative consequences similar to employee experiences. However, we note that while previous research points to experiences and responses between two parties, leaders' resolution processes and post-violation outcomes go beyond dealing with an individual transgressor, to dealing with the wider team. This points to more complex mechanisms for leaders in dealing with employee contract violations, with implications for team communication and leadership development.

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Table 1: Manager characteristics

Demographic	Category	% sample
Industry sector	Professional, Scientific & Technical Services	29%
	Social Assistance	54%
	Health Care	6%
	Financial & Insurance	6%
	Manufacturing	3%
	Education	3%
Organisational tenure	1-5 years	49%
	6-10 years	31%
	Over 10 years	20%
Managerial experience	2-5 years	26%
	6-10 years	37%
	10-15 years	20%
	Over 15 years	17%
Direct reports	2-5	37%
	6-10	49%
	11-15	14%

Table 2: Commitments managers and their team members made to each other

Manager commitments to team members	
Commitment	**Description**
Support and develop team members	support and development in terms of helping team members resolve any issues that come up in the course of their work, being available and facilitating consultation and learning among team members and encouraging ongoing development using individual development plans.
Safe work environment, including physical, emotional and psychological safety	for example, provide an environment which was free from toxic behaviour and team members felt free to engage with both the manager and the wider team.
Understand individual needs	For example, in terms of career aspirations, some members of their

and differences and provide flexible arrangements	teams were interested in progressing to higher positions while others were interested in becoming specialists or subject matters experts. In each case, the responsibilities assigned, and the support varied accordingly.
Maintain professional norms of transparency, equity, trust and fairness	managers considered these to be basic professional norms that were consistent for all team members for example being fair in response to requests concerning work and being transparent with team members about any matters pertaining to the project they were working on
Team member commitments to managers	
Commitment	**Description**
Job performance	to perform assigned work to the highest quality and within set timelines as well as improve their work continuously as part of learning.
Communication	Communicate with the manager, the rest of the team and clients about work and any issues arising that may have to be resolved.
Maintain a good work ethic	regarding attributes such as honesty, integrity, respect and transparency.
Social atmosphere	managers believed that team members made a commitment to create a positive environment for others to work in. for example, team members should not be divisive or engage in behaviour that makes others to feel unwelcome at work.

Table 2: Examples of violation incidents

Task / relationship focused	Incident	Occurrence
Task focused	Team member committed to deliver certain configurations for a client in a certain timeframe, it turned out he didn't know what to do and didn't escalate so the delivery was delayed	One off
Task focused	This manager is having chronic underspending in his area where the funds that are allocated for him to implement programs are not being utilised	Repetitive

Task and relationship focused	The person consistently failed to honour their commitments and, in a sense, became deceptive about trying to cover up their failures	Repetitive
Task focused	The team member was not reviewing clients' cases as regularly as they needed to, and this went on for a while despite several reminders	Repetitive
Task and relationship focused	Team member resigned during busy workload season	One off
Relationship focused	Team member was unprofessional and was abusive to a third party connected to a client	One off

Table 3: Responses to violation

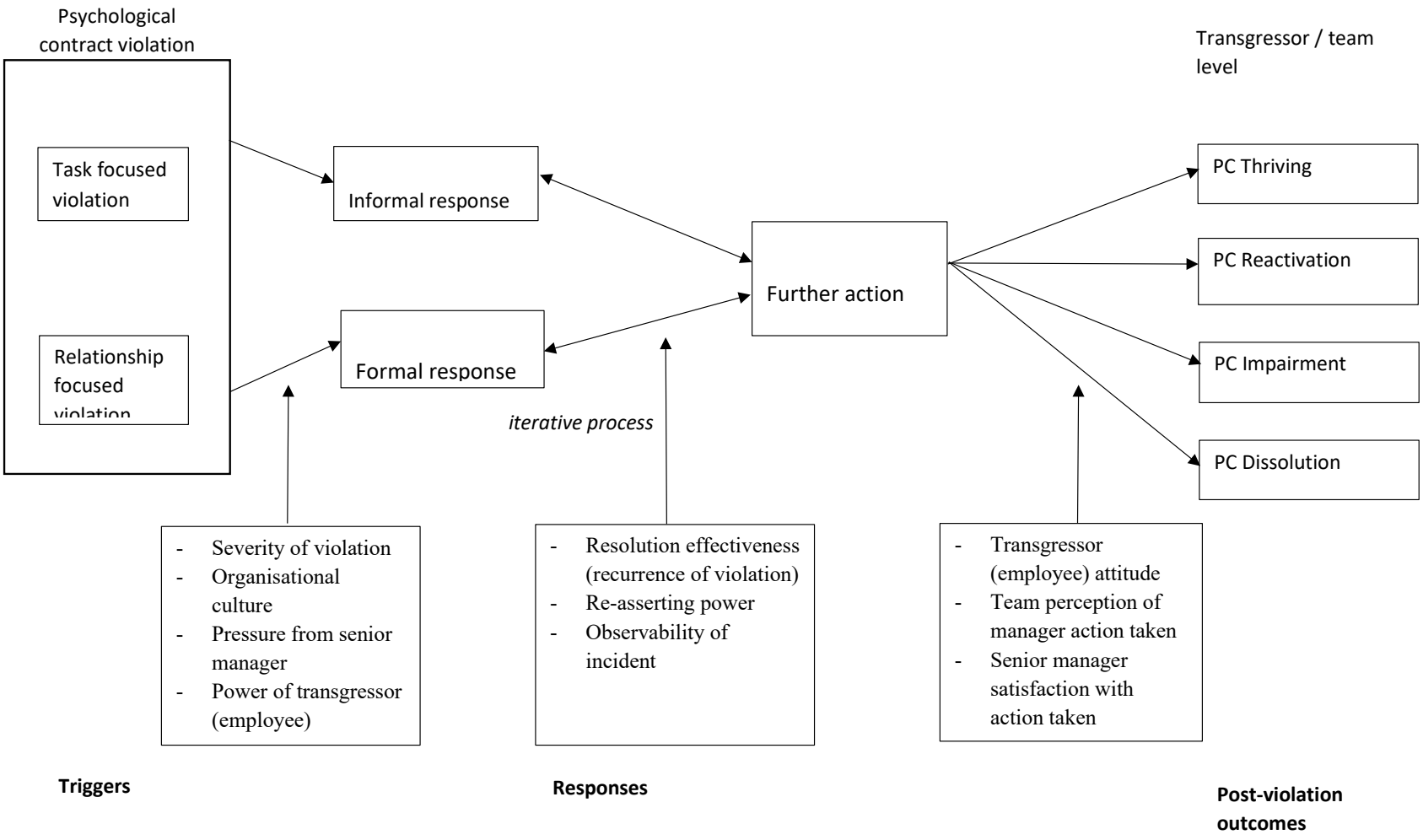
Formal / Informal	Action taken
Informal	"At first I just had a talk with this person to let them know that I needed what I asked them to do urgently".
	"I followed up with the person themselves to reiterate that such orders were urgent and to keep everyone informed about what was happening with such orders, and I kept reminding them to make sure when some comes in you do this and this and as time went by they actually got better at doing that".
	"I have a meeting with him to chat to him about what is going on and how we can support him better".
	"At the start, there were a lot of discussions about the vision of the organisation just trying to explain to him that we were there as a family environment, so we wanted to keep it clean and friendly"
Formal	"I had to more formally address the issue, rather than a casual conversation that I had before, I put everything in writing".
	"There was a process to be followed. After the complaint was received, first there was an investigation to hear every side of the story. Then we had a formal meeting with him where we explained to him the policy and because he did not follow policy, he had to face consequences, his employment was terminated".
	"When this happened, the first thing was disciplinary action on the staff that

were involved given that the incident caused financial loss to the company, which resulted in termination of employment for the person directly responsible".

Table 4: Post-violation outcomes

Relationship with transgressor	Relationship with team	Relationship with senior manager
"The relationship was difficult as he was not happy that I called him out on his behaviour" **(negative)**	"It increased the team's respect for me as their manager seeing that I would act in their interests if they had a similar issue" **(positive)**	"… my manager now trusts me to handle escalated situations" **(positive)**
"The relationship was strained, she eventually left but until she left, she was distant" **(negative)**	"It brought us closer as I interacted more with the team while trying to resolve the issue" **(positive)**	"…my manager now has more respect for my abilities" **(positive)**
"It changed our relationship as my support built credibility and trust" **(positive)**	"The team did not like that one of them was terminated and it damaged our relationship - the relationship needs repair but this will happen overtime" **(negative)**	"my manager…he thought I had actually done things differently, which did frustrate him and for a while there our relationship lessened because of his frustrations" **(negative)**

Figure 1: Proposed Model



Identity aspirations and legitimacy in a complex environment

Track 10

Refereed delivered paper

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SUMMARY

As the process of concretizing an aspirational identity in complex environments remains largely unknown, we explore the role of legitimacy in such a process. This research is based on a case study of a hundred-year-old Australian intellectual property firm that aspires to become a strategic service provider for its clients. Our results show that the construction of a new organizational identity forces the organization to engage in targeted and nuanced legitimizing activities towards its stakeholders. They provide a better understanding of how organizations should manage aspirational identity in a context of institutional complexity to gain legitimacy in their new activities.

Keywords: Identity Aspiration, Institutional Complexity, Legitimacy, Organizational Identity

INTRODUCTION

By seeking to change their identity, organizations can potentially compromise their legitimacy vis-à-vis actors carrying other logics, especially their clients. To the extent that legitimacy plays a key role in the survival of the organization (Zimmerman and Zeitz, 2002), we examine the role of legitimacy in the process of concretizing an identity aspiration in complex environments. Organizations operating in fragmented institutional environments in which multiple contradictory institutional logics coexist are in a situation of "institutional complexity" (Greenwood et al., 2011). While increasing attention has been paid to such complexity, research has largely focused on how organizations respond to their environment (Glynn, 2008; Greenwood et al, 2011). However, internal organizational factors that influence such organizational responses have been poorly studied (Greenwood et al., 2011; Kodeih and Greenwood, 2014). Among these factors, we focus on organizational identity and the aspiration to a new organizational identity - or aspirational identity (Kodeih and Greenwood, 2014) - and on the impact of legitimacy in this process. To address this gap in the literature, we answer the following research question: How can organizations gain legitimacy when aspiring to realize a new identity in complex institutional environments? Our study thus responds to Greenwood and Kodeih's (2014) invitation to examine the relationship between identity aspiration and institutional complexity. We examine this question through a case study of a hundred-year-old intellectual property (IP) firm (hereafter called "the Firm") that operates in complex institutional environments and aspires to become a strategic partner for existing clients. We explore the efforts and obstacles encountered in the process of building this new identity. As identity issues become more visible when organizations encounter conditions of great uncertainty, tensions and ambiguity, our research examines the links between organizational identity, identity aspiration, legitimacy and institutional complexity.

1. COMPLEXITY, IDENTITY AND LEGITIMACY

1.1. Institutional complexity and identity

Following the seminal work of Friedland and Alford (1991), institutional logics **are** defined as cultural beliefs and socially shared practices that structure behaviours, provide criteria for legitimation and give meaning to social reality. Organizational environments are often characterized by the coexistence of

multiple systems of beliefs and claims, contradictory or competing (Scott, 1987). Organizations then find themselves in a delicate position because satisfying one demand supposes neglecting or ignoring another (Pache and Santos, 2010). In other words, organizations operate in a so-called "complex" institutional environment. This institutional complexity does not affect all organizations in the same way since their responsive capacity depends on certain intra-organizational factors (Greenwood et al., 2011).

In particular, organizational identity, defined as a constellation of claims or assertions, functions as a "filter" that influences organizations' interpretation and responses to policy issues and environmental change (Glynn, 2008). It offers interpretative schemes, guides the actions of an organization, and can be associated with the collective understanding of its members, that is with characteristics that they consider central, permanent, and that distinguish them from other organizations (Albert and Whetten, 1985). Organizations may define their identity in relation to a social category such as "a Top 20 school, a Fortune 500 company, or a hospital (and not a bank)" (Glynn, 2008, p.418). The choice of such an identification can be explained by the fact that it makes it easier to gain legitimacy because a category includes predefined "identity codes" that external actors use to assess the legitimacy of an organization. Such "institutionalized" identities include "identity elements" that create a perception of how organizations of this type are supposed to behave (King et al., 2011). Organizations are forced to adjust their behaviour in the event that they deviate from the institutional expectations linked to their membership to a specific category.

An organization's identity, and its future aspirations, influences how it responds to institutional pressures (Kodeih and Greenwood, 2014). In environments where multiple institutional logics coexist, organizations may choose to seek legitimacy from unconventional sources. In this context, organizations prefer to respond to the logic that suits them or that corresponds to their identity aspirations (Kodeih and Greenwood, 2014). Kodeih and Greenwood (2014), for example, in their study of four French business schools, show that these organizations, by relying on competing institutional logics, modify their positions within their organizational field. By integrating practices of a competing logic, the organizations signal their adherence to the values of the new logic. This integration gives them a new source of legitimacy and, therefore, access to new resources. The extent of changes in

practice depends on how organizations perceive current institutional arrangements, i.e. whether they are satisfied with their available positions and resources. Institutional complexity can offer development opportunities but also impose constraints. In complex environments, the adoption of practices linked to another logic may call into question the legitimacy vis-à-vis actors who have other rationales (Pache and Santos, 2010). In such contexts, the organization that decides to concretize its identity aspiration risks jeopardizing its legitimacy, and even compromising its survival (Zimmerman and Zeitz, 2002).

1.2. Legitimacy in conflicting institutional environments

For the neo-institutional approach, organizational survival is directly linked to its legitimacy (e.g. Zimmerman and Zeitz, 2002). An organization is considered legitimate if its aims and practices conform to institutionalized norms, values and models. Legitimacy is a social judgment (Zimmerman and Zeitz, 2002) attributed to the organization by its stakeholders, who evaluate this legitimacy using cultural evaluation criteria. These criteria are sometimes considered more important than economic performance, as organizational legitimacy facilitates cooperation and access to the resources that are necessary for the survival of the organization (Zimmerman and Zeitz, 2002).

In complex environments, organizations are often forced to simultaneously follow different "rules of the game" and logics. The realization of an identity aspiration often involves the adoption of practices and structures related to another institutional logic, sometimes a competing one (Kodeih and Greenwood, 2014). Organizations can rarely integrate practices related to other rationales without tensions and conflicts (Pache and Santos, 2010). They can even less ignore all the requests made to them by their multiple stakeholders, who conform to various logics (Pache and Santos, 2010). In endorsing the role of institutional contradictions as instigators of institutional change action, Seo and Creed (2002: 226) argue that sources of contradiction manifest as by-products of the processes of institutionalization. Raising the tensions between legitimacy and functional efficiency, they argue that organizations' access to legitimacy status and vital resources depends on the degree to which they become isomorphic with their institutional environments. This, however, compromises their efficiency - an outcome that may be exacerbated by environmental uncertainty. This contradiction between efficiency and legitimacy is usually addressed through what Meyer and Rowan (1977) refer to as the

selective decoupling of formal structures from the technical core of the organization. In this context, organizations tend to handle these situations with care to preserve their institutional support.

Seo and Creed (2002) raise the contradiction embedded in taken-for-granted institutional arrangements that stabilize institutions through mutually reinforcing systems of practices, interests and ideas, and which facilitate the 'non-adaptability' of organizations; that is, the extent to which institutional arrangements are deeply embedded and tightly coupled. Institutional arrangements thus constitute a sense of experienced reality beyond which it is very difficult for participants to think. Such embeddedness makes 'other types of problem solving unimaginable …, in the long run, … renders institutional arrangements increasingly vulnerable to external shocks by insulating the participants from critical information that exists beyond the institutional boundary' (Seo and Creed, 2002: 235). In this respect, strategic inflection points, whether they reflect ideological, regulatory, or technological changes, are likely to be missed as reified practices and structures are experienced as inevitable, natural and legitimate. Seo and Creed (2002: 228) also refer to the contradictions created by intricate ties between institutions in social contexts that have multiple, interpenetrating levels and sectors. As Meyer and Rowan (1977) suggest, this leads to the adoption of practices which contradict the 'central logics' of organizations as they conform to an intra-institutional logic supported by the associated rationalized myths, creating inter-institutional incompatibilities in the process. As Seo and Creed (2002: 228) put it, 'one institutionalized logic (e.g., professionalism) is layered on another (e.g., managerialism or bureaucracy), rather than a distinctive transformation where one logic sweeps away the residue of another'.

2. METHODOLOGY

2.1. Case description

Industry. In Australia, IP firms generally enjoyed a sheltered environment until the beginning of this century. Recently, some services have been commoditized through technology-enabled automation and the local market has opened to overseas competitors through regulative changes. As local clients become more IP savvy and market competition increases, the financial margins of traditional patenting businesses are under pressure. Furthermore, the benefit of the patenting system is under question

globally and changing attitudes towards the value of registering IP - given the difficulties and expense of litigation, especially in the USA - are further complicating this traditional service. More broadly, the traditional consulting industry model is being challenged (Christensen et al., 2013). Furthermore, traditional business service firms (the Big four) are acquiring IP firms, which is further modifying the competitive landscape. This new context increases institutional complexity, with major changes operating in both the IP and the strategic consulting industries, and a move towards a convergence or possible between them. Hence, disruptive digital technologies in a very conservative industry and changing market conditions make the environment complex.

Company. The Firm is over one hundred years old. It operates mainly from Australia and its patent attorneys represent clients all over the world. Patent attorneys are specialized in representing clients in obtaining patents and in acting in all matters and procedures relating to patent law and practice, such as filing an opposition. Most countries have some unique patent law particularities, Australia included, and organisations wanting to file or enforce their ideas in foreign countries rely on local patent attorneys. The firm is governed by a partnership agreement signed by thirty-three principals, predominantly patent attorneys, and is represented by a Board composed of a Chairman, the Chief Executive Officer, an external board advisor, and three of the principals.

In an attempt to respond to the above mentioned industry challenges and to compensate for traditional revenue losses, the firm aspires to provide a broader service offering to their existing clients. Three years prior to this research the firm acquired new profiles to create new services that were hosted within the partnership. These included advice in IP valuation, IP landscaping and IP tax incentives. In the same period, the firm engaged a marketing team to create a differentiating image and to promote the new direction. This entailed a significant rebranding exercise including a new slogan, webpage redesign/content, colour charts, staff profile/titles etc. The 'declared' new identity for the firm positions it as a holistic business partner providing services in the strategy space. However, after three years, the added services have not realized their promise, and hardly any leverage of the firm's enviable client list has been achieved. It is in this context that the Chairman of the firm contacted one

author of this paper to conduct research aimed at gaining an outside-in perspective of the issues at stake.

2.2. Data collection and analysis

During a period of 2.5 years (2015-2018), we had access to board meetings, regular informal discussions with the CEO, the Chairman, and many other staff members of the firm. We collected both primary and secondary data and conducted 45 interviews (see the list of participants in Table 1).

Insert Table 1 about here

The in-depth face-to-face interviews lasted between 0.5hr and 1.5hrs and were conducted between September and November 2016. The core questions reflected our research goals, namely, to assess the lived experience of staff and clients in respect of the changing nature and requirements of the IP industry, and how it is affecting their working practices. The interviews were transcribed, validated by the respondents, and coded according to the main themes of the literature. Next, we also gathered secondary data to support data triangulation, including consulting reports, industry reports, press accounts, the company website, articles, and scientific communications at conferences on the industry. These data confirmed any recurring patterns and identified other facets, elements, and quantitative figures that might support (or conflict with) the information gleaned from our interviews. Because our methodological approach includes interviews with various actors who engage in strategic formulation as well as in implementing such strategy (hence various hierarchical levels) and also key stakeholders (large clients representing the main Australian industries), we have limited the potential bias that is inherent to case studies, arising from the use of respondents' own perceptions and representations.

3. RESULTS and ANALYSIS

3.1. Initial and aspired identity

With ongoing business challenges impacting revenue streams and in anticipation of shifting market conditions, the firm devised a new identity aspiration and strategy aiming to generate more revenue from their existing clients by innovating and extending its service offering and improving the bottom line by adopting a process improvement culture. The internal and external communication of the strategy signalled strongly that the Firm wants to broaden its IP scope by offering complementary and

integrated business service and consulting solutions. Tightly linked to the strategy is a projection on how new work should be won and new services delivered. The Firm's initial practices underlying its identity and aspiration for future identity were constructed using secondary data, in particular a consultant report that was used in formulating and executing the new strategy (see Table 2).

Insert Table 2 about here

To explore the concretization process of aspirational identity, we used the primary data to characterise underlying practices of both identities (see Table 3), revealing potential tensions between those.

Insert Table 3 about here

3.2. Tensions between the Firm's identity aspiration and institutional logics

The institutional logics of the industry have shifted dramatically. Such environmental changes, which make the environment complex, from professionalism to managerialism are summarized as follows (adapted from Christensen et al., 2013, see Table 4). This is likely to influence the perception of working practices for the Firm and the expectations of their existing clients.

Insert Table 4 about here

1. New client demands leading to more institutional complexity

One client summed up the view of all in his comment that the firm is 'very good at intangibles. The people I deal with are great … it's the tangible component that's got to be sharpened'. In particular, clients feel that the firm needs to review and enhance its 'tangible' offerings by adopting new technologies; streamlining and simplifying back-office processes; introducing new, high-end, strategic services by 'partnering' more with clients in order to generate value for them by creating and realising business opportunities; building board-level relationships with clients; not succumbing to organisational inertia by doing nothing different; not tolerating inappropriate skill-sets within an industry that is on the cusp of radical transformation; being more intellectually humble in their role. As one client stated, 'the firm's attorneys can unwittingly present an "I'm right and you're wrong" position'. Attorneys are considered as being incapable of having strategic business conversations due to their narrow skillset and mindset. Rather than just drafting a patent, clients want the firm to partner with them, to gain an empathic understanding of their business and to offer them strategic advice. Clients are clear that to broaden its offering to include high-level strategic services, the Firm would

have to acquire/develop new skill-sets. As one client commented, the inadequacy of the firm's current skill-sets, and the transparency of its self-interested motive, was evident the last time the firm attempted to broaden its offerings to clients (see *Verbatim 1* in Appendix 1).

2. Limited capabilities in delivering value-based strategic services

While this theme was mentioned by every person interviewed, there were mixed interpretations about the firm's capabilities to compete through the offering of the more strategic services that clients now expect. Some believed that the Firm's attorneys are already delivering higher level services to the clients (but without charging for these services), others that the attorneys' knowledge base and mind-set is too narrow so that they do not have the collaborative skills required to understand the client's business and offer the proper advice. Some saw the problem as not having contact points at a high enough level (Board and CFO level as opposed to R&D) while others argued that the Firm needs to re-think the nature of the workforce required to offer high level services (such as consulting in innovation strategy) that are competitive in the market (see *V2*). Several interviewees argued that, for various reasons (lack of confidence/knowledge, narrow technical IP skills, inability to engage in explorative questioning), many current staff members are unable to collaborate meaningfully with clients with respect to offering value-based strategic services. If the firm wants to compete in such new area, confidence in its business skills, and business reputation, needs to be built (see *V3*).

An interesting 'outlier' perspective is that the way in which IP attorneys are rewarded (record time and ensure that the maximum amount of a client's spending contributes to the achievement of the individual attorney's budget) constrains their ability/commitment to develop their capabilities to offer those high level services (see *V4*). In this way, the performance management system legitimizes selfish behaviour and is said to work against the referral of clients to other members of staff such as those who may be capable of offering additional services. Linked to the performance management system is the problem of pricing. There is general understanding that the firm's clients would like to pay for value generated and not hours worked but little consensus exists on how to price such value. As one person puts it, 'everyone knows the price of everything but they do not necessarily understand its value'. Hence, ill-defined pricing practices are not conducive of legitimated value-based costing.

3. Required Structural Changes to the Firm.

Various factors [technology, globalisation, changing attitudes to IP protection, etc.] were seen as having disrupted the traditional operational model of IP firms. IP attorneys' knowledge is becoming commoditised (filing of trademarks and, increasingly, patent drafting is being offshored), resulting in lower margins. It was felt that the current partnership model would be unable to drive the necessary adaptations required for addressing the soaring cost of production issues. Furthermore, there was almost unanimous agreement that the organisational structure had to change in order for the firm to adapt to a dynamic operational environment with increased institutional complexity. It was argued that ownership of the business needed to be de-coupled from the management of the business because the thirty-three equity partners could not reach consensus. Also, for the firm's systems and processes to compete effectively, everyone, irrespective of rank or station, needed to adopt standard processes (see *V5*). Hence the legitimacy of the partnership to implement the new strategy and aspired identity is being challenged. The CEO touched on the legitimacy problem: 'if we want to be taken seriously when selling innovative services, we have to demonstrate that we can transform ourselves'.

4. *The Parochial Culture of the Firm*

The bulk of the senior IP attorneys have been at the Firm for decades and, in this respect, one person recalls the collective response to the impact of online platforms on the traditional work of the Firm (see *V6*). In particular, it is claimed that complacency abounds in that the staff assumes that work will roll in as it always has done. One senior IP attorney argued that self-congratulatory perspectives have led to the firm's misjudgement of its standing with clients (see *V7*). Although the Firm's Chairman continued to search for alternative ways of addressing the changing environment of the Firm, his actions drew strong criticism from several equity partners (see *V8*). This demonstrates the narrowness but also the strength of the Firm's culture in de-legitimizing a need for change which undermines the concretization of the aspirational identity process.

Results also show that while clients are expecting more strategic involvement from the Firm, they are very critical about its motives and they foremost expect the operationalization (quality, cost and time of delivery) of its traditional services to be irreproachable. This demonstrates that under the ambiguous influence of competing logics, the realization of an aspirational identity is a very complex process,

creating identity tensions which inevitably lead to uncertain and imperfect outcomes. Table 4 summarizes the organizational legitimacy issues related to aspirational identity and practices.

Insert Table 5 about here

3.3. Legitimization strategies of the Firm

The most significant strategy towards its aspirational identity was the introduction of differentiating IP services under the umbrella of an IP Consulting brand (see *V9 and 10*). This led to a complete rebranding exercise and ongoing legitimizing activities such as sponsoring local events and prestigious national innovation awards. However, three years later, the Firm is still struggling to build visibility for those new services, and attorneys are not developing new forms of collaboration with their clients [forms that go beyond their traditional patent attorney role (see *V11 and 12*)], signalling the degree of institutionalization of their organizational identity.

While recognising those legitimacy, integration and upskilling issues, most principals of the Firm are inclined to add more business-oriented people and practices to their consulting arm (see *V13 and 14*), further siloing the new practices (a way of managing ambiguity, contradictions and conflicting logics). Indirectly, this demonstrates that the partners are more engaged in legitimation strategies based on their old identities, and are 'adopting' the new practices with caution. By keeping these at arm's length they assume that this would suffice in response to their existing client's expectations. The contrary suggests that the level of institutionalization of organizational identity and legitimacy are critical factors in the process of concretizing an aspirational identity. In fact, the institutionalization of the organizational identity of the Firm has not only prevented the new practices from being perceived as legitimate but has also strongly anchored the Firm in its professional logic. Paradoxically, the more partners perceive and experience a need to legitimize the Firm's aspired identity (transdisciplinary and holistic IP), the more they grow apart.

DISCUSSION AND CONCLUSION

The aim of our research was to examine how organizations may gain legitimacy through the concretization of an aspirational identity in complex institutional environments and we hereunder provide the synthesis of the response to that question. After three years of implementation, the Firm has not yet achieved this. While most literature has focused on legitimacy vis-à-vis external actors (Pache and Santos, 2010; Zimmerman and Zeitz, 2002), we found that legitimacy issues commence internally. As far as internal legitimacy is concerned, the main problem is linked to principals who do not dedicate enough attention resources (Zimmerman and Zeitz, 2002) to the operational deficiency problem and to the very different requirements linked to the aspired identity. This failure of the equity partners to commit to the realization of the aspirational identity has resulted in the continued hegemony of the prevailing identity and its legitimacy in the Firm.

After three years, the attempt to graft new practices onto existing IP services, has still not taken within the organisational environment and remains loosely coupled. Although this loose coupling may enable autonomy to explore new businesses beyond the dominant institutional logic, it is ineffective in leveraging a strong commercial base (i.e. cross-selling to the existing client base of the firm). Consequently, promotion and diffusion (internally and externally) of behaviours related to the new identity aspiration is restricted. While the partnership acquired new services, it has not fully integrating them. According to Kodeih and Greenwood (2014), integrating practices of a competing logic gives a new source of legitimacy and, therefore, access to new resources. As a corollary, our research shows how access to new resources is limited by a lack of integration (internally and externally) and how this can challenge legitimacy (internally and externally). In the case study, the major factor impeding integration of services (old and new logic) is that attorneys speak to the technical staff (their client contact) who are themselves siloed. This means that internal and external competing logics cannot cross over. Consequently, the legitimization strategies of the Firm for concretizing its aspiration to become a more holistic/strategic service provider for existing clients are rendered ineffective.

Our main theoretical contribution to the concept of identity aspiration is to highlight the importance of institutionalizing organizational identity and legitimacy during repositioning efforts towards a new

identity aspiration (Kodeih and Greenwood, 2014). This is a complex process as the organization considering the change of identity has to take into account the institutionalization of its identity and be prepared to face negative reactions from stakeholders (both traditional and new ones). Moreover, while promoting 'identity codes' is not sufficient, and needs a process of concretization (King et al., 2011), we provide a more thorough understanding of the managerial conditions for such a process. When targeting a strategic shift, the concretization of an aspirational identify will manifest in behavioural changes for practices underpinned by new logics (new rules) needing to gain their own legitimacy. Hence, when top management teams invest heavily in changes for concretizing an identity aspiration, they need to factor in and scrutinize how new institutional complexities will manifest both internally and externally, especially those creating legitimacy issues for existing and targeted stakeholders (those to whom the new identity is meant to appeal).

Our research also offers managerial recommendations for strategic pivoting involving complex organisational identities. The following questions should be looked at by organizations who aspire to change their identity:

1. *Identify core identities that need shifting/broadening*

   What is the nature of work that needs shifting/broadening? Which are the underlying 'legitimate' identities and which ones create issues? What identity characteristics are linked to core and aspirational practices? Who legitimizes those practices and what roles do they play? What environmental factors legitimize those practices?

2. *Identify resources required to concretize the aspirational identity*

   What behaviour and activities will endorse the aspirational identity? What and who will legitimise those practices internally and externally? What practices should be developed to gain legitimacy (internally and externally)?

3. *Invest in legitimizing those identified practices with targeted stakeholders.*

   How can the concretization of those practices be incentivised (internally and externally)? Is a new structure/capability required and how can it be supported? How much resource allocation is required to develop or acquire 'legitimate' knowledge?

4. *Monitor legitimizing issues linked to aspirational identities during its concretization process.*

Are institutional tensions rising? How are new practices perceived (internally and externally)? How are the organisation and its external stakeholders responding the aspired identity?

Despite these contributions, our research is not without limitations. First, although we followed the firm for two and a half years, our interviews were not conducted in a longitudinal manner, which limits our evaluation of the practices that underlie identity aspiration and through which individual identities evolve. Further research into the building of a multilevel understanding of institutional theory which acknowledges individual-level identity is required. Second, the number of interviews external to the firm are relatively limited and the institutional complexity could not be analysed from a wider angle, taking into account other stakeholders and industry participants. This could be undertaken in future studies, with an emphasis on the alignment between the identities of the different participants of the industry, taken as an ecosystem of multiple parties. Finally, another interesting avenue for further research lies in the multilevel aspect of legitimacy (internal - individual, business unit, organization - and external) which has emerged in our interviews. Although recent studies have started to explore the links between individuals and institutions, they do not fully explain the mechanisms and contexts through which a shift in logics at a macro level affects identity at a micro level.

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Table 1. Interviews participants

Roles	Number of participants
Internal participants	41 (total staff 95)
Board members (principals)	4
Other principals	11 (total principals 33)
Senior associate and associate patent attorneys	8
Personal assistant to principals	3
Consulting services (Law, IP Valuation, IP analysts)	10
Finance, Marketing and Operations	5
External participants (major clients):	4
Technical manager (Construction sector)	1
Strategic business manager (Construction sector)	1
R&D Manager (Mining sector)	1
Innovation and IP manager (Manufacturing sector)	1

Table 2. Firm's initial identity and aspired identity

Initial identity	Aspired identity
The Firm offers high quality patenting services.	The Firm sells a wide range of integrated, innovative IP solutions creating high added value.
The Firm seen as a reputable IP service provider.	The Firm valued as a business partner who understands business processes and needs.
The Firm processes are dictated by its own legacy, rules and structure.	The Firm interacts and adapts with operational models and intentions of current and future clients.
Clients come to the Firm when they have identified an IP need	The Firm has a built-in capability to capture future IP problems and needs for its current and prospective clients
Current clients choose within the suite of the Firm services	The Firm partners with clients to co-create or co-develop tailored solutions
The Firm is "empirically" not involved within the stage gate product lifecycles of clients	Clients "naturally" ask the Firm advice on invention/tech roadmap strategies, IP investment decisions, …
Internally, vision and strategy are somewhat aligned at top level but not implemented at operational level	Projects and services are aligned within the Firm to deliver vision and strategy
The Firm does not leverage on its untapped high people skills who mostly work in silos	The Firm provides a process and project space for employees to invent, explore and collaborate

Table 3. Characteristics and underlying practices of initial and aspired identity

	Initial identity	**Identity aspirations**
Characteristics	IP service provider Protector of value for clients Play safe (code of conduct) Artisan (craftsman) Multidisciplinary Office worker Expert mindset (patent attorney)	Strategic business partner Creator of value with clients Proactive Teamworker (shared process) Transdisciplinary Field worker Holistic mindset (Business)
Practices	Time based costing (make budget) Patent drafting Analysing IP risks in technical systems	Value based costing Strategic recommendation Exploring IP for business opportunities

Table 4. From professionalism to managerialism

Professionalism	**Managerialism**
Structured to diagnose and solve problems whose scope is undefined	Structured to address problems of defined scope with standard processes
Delivers value primarily through consultants' judgment rather than through repeatable processes	Processes are usually repeatable and controllable
Customers pay high prices in the form of fee-for-service	Customers pay for output only

Table 5. Legitimacy issues related to aspirational identity and practices

Legitimacy issues related to aspirational identity and practices
The individual reputation and notoriety of patent attorneys legitimates their individual work practices against teamwork and shared processes
The performance management system legitimates the client 'ownership' mindset which is contrary to the teamworker identity aspiration
The poor tracking record of project closer within the Firm de-legitimates the partnership structure for implementing shared processes
The narrowness and strength of the Firm's culture de-legitimates the need for change and the concretization of the aspirational identity
Inefficient incentives for referring internal work and ill-defined pricing practices are not legitimizing value based costing practices
Attorneys are not legitimate for giving strategic recommendations due to narrow skillset and mindset

Appendix 1. Verbatims

V1	A few years ago they had this idea that they were going to help companies work out their strategies and it looked like they were trying to take over the business and tell you how to run it. … That whole thing was written for (the Firm) and not for the customer. I had an honest discussion with them and they stopped it.
V2	I am happy for people to be working here who were working here thirty years ago but they need to be working differently. The world is changing around us, and it's changing incredibly quickly.
V3	It's not enough to be able to write the perfect patent. You have to be able to put that into a commercial context. We're limited in the commercial type advice we can give them because often we don't know enough about what they're doing. … We need to be asking the right questions, and reminding ourselves that drafting or amending a patent is being done for commercial reasons - it's not just a technical document we need to get 100% correct.
V4	The framework that (the Firm) has for an attorney ... (is that) their primary goal is to make budget. They don't get rewarded in any way for referring work to other departments or for even keeping the client happy. … There's no formal process for recognizing good work other than if you've done a large amount of billings … If an attorney has a specific client, that client may only have x amount of dollars to spend. That attorney may wish those dollars to be spent on his services only. It may not be in the best interest of the client but it's in the attorney's interest.
V5	I see a lot of good intent but we don't finish anything. We start projects and then they're abandoned because of individual objections. … We've got thirty-three partners or principals. Every single one of those people have their own little ways of doing things, which makes it incredibly hard for us to scale our service offerings … If you're going to have a single process you need to have management in place that has the authority to enforce it on everyone.
V6	There was genuine outrage at the idea of intermediary online platforms cutting out that profitable filing end of the process. There was an attitude of, 'how dare they come into this space?' which, I think, reveals a really high level of insularity in thinking.
V7	There is incoherency between how we perceive the business - and pat ourselves on the back - and how the market actually sees us … in terms of how necessary or vital we are to clients.
V8	He should just put his head down and meet his budget instead of wasting his time thinking about the business. If everyone made budget, we wouldn't have a problem.
V9	The introduction of (IP Consulting) differentiates (The Firm) in the local market by the introduction of business consulting skills.
V10	I think the breadth of what we have to offer probably differentiates us in that we have a lot of different skills in the IP world. I think one of the most notable differences is probably that we have a consulting arm now as well.
V11	I think we still have clients who think that all we do is patents or trademarks or designs. They don't see the legal. They don't see the valuation side of things. They don't see (The Firm) consulting. So they don't necessarily come to us when they have got legal questions or questions outside of what they traditionally have used (The Firm) for. So I think as we build the value chain, as we build other components to the business, we need to be able to make our current and our future clients more aware of those and understand how we can actually help them.
V12	No, I think what I'm saying is that we need to think about how we can help our clients. We need to see a bigger picture than just the point of contact that we have and the point that we engage with that business, and that particular job that we're doing for them. We need to be sort of commercial and interested enough in their business to say, "actually what's the value of this to what it is you're doing". I think if we do that and you get the bigger picture, then everything else sort of comes into play.
V13	(The Firm) needs to continue to invest in the consulting (IP Consulting) space and bring new people on board.
V14	One possible way to differentiate (the Firm) would be to expand the consulting arm (IP Consulting) to include professionals who can focus on the more commercial aspects of a business.

Stream 4: Health Management and Organisation
Interactive Session

How do clinicians' professional bodies characterise interprofessional care?

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ABSTRACT: *Interprofessional care represents international best practice. Despite evidence of what works to promote it, interprofessional care does not always occur. This might be partly because much research myopically examines health or social care teams, health services, and/or education. This study addresses this by examining how clinicians' professional bodies characterise interprofessional care. An examination of the official websites of 25 professional bodies, spanning five professions and five nations found that, with few exceptions, the strategic foci of these professional bodies did not explicitly recognise the role of counterpart professions. Furthermore, references to these counterparts and interprofessional teamwork were somewhat embedded within the websites and not readily apparent. This suggests considerable opportunity to promote interprofessional care via clinicians' professional bodies.*

Keywords: Health workforce issues; healthcare professions; knowledge translation; managing integrated health services; professional identities.

Integrating health and social care is key to reforms in many countries to address the challenges associated with ageing populations and increased chronic diseases at a time of constraining resources (Goodwin, 2015). The World Health Organization (2011) advocates for care that crosses boundaries between primary, community, hospital, and social care, which necessitates interprofessional practice. Despite international support, interprofessional care is not always achieved (Xyrichis & Lowton, 2008).

Interprofessional care represents best practice, explicitly recognising different sources and forms of expertise to ensure complementarity, rather than duplicative effort or worse still, gaps in care. Interprofessional teams include diverse health and/or social care professionals who collaborate as a mutually dependent group to deliver complex care (Reeves, Lewin, Espin, & Zwarenstein, 2010). Yet, creating the mechanisms and ethos to support such care has been challenging (Dickinson, 2014). Interprofessional teams often demonstrate unique cultures given the professional identities represented within the team that might hinder collaboration (Martin & Rogers, 2004). The varied terms for, and definitions of interprofessional care further complicates how it is operationalised (Best & Williams, 2019).

Given the importance of interprofessional care, and the role of professional bodies in maintaining care standards, this study clarifies how some of these bodies characterise interprofessional care, as defined by Reeves and colleagues (2010).

Although patients with complex conditions often need interprofessional care, this does not always occur. Different professions often: have discrete roles in patient care; are based in disparate departments or organisations; have different payers and regulations; and record information into separate data systems. Interprofessional care therefore requires both systemic and personal commitment (Wells, Chuang, Haynes, Lee, & Bai, 2011).

Interprofessional care requires awareness and positive mutual valuation (Gittell, Godfrey, & Thistlethwaite, 2013). First, professionals must be aware of patients' interrelated needs, like the need for additional education to support medication adherence. Additionally, practitioners need to know which other professionals are currently or should be involved in patient care. Further to awareness, positive mutual valuation supports interprofessional care by enhancing motivation to spend the time required for interprofessional communication. Additionally, positive mutual valuation can help patients to appreciate the importance of each practitioner's role.

Many factors affect awareness and positive valuation among practitioners. For instance, tertiary and continuing education for different professions can engender distinct perspectives on: health(care); as well as the expertise, role, and legitimacy of different professions. Professions often compete for domains within patient care, like assessment and treatment planning (Currie, Finn, & Martin, 2009). Furthermore, different organisations often have diverse priorities – while they might all espouse the importance of wellbeing, they might pursue this aspiration by reducing patient costs, reducing societal costs, and/or variations in between (Williams, 2009). To overcome professional fragmentation, there has been an increasing emphasis on patient-centred care (Lavallee et al., 2016) and interprofessional education to coordinate it across professions (Reeves et al., 2016).

Interprofessional care can also be influenced by the professional bodies that represent health and social care practitioners. Many practitioners, and those studying to be, are members of a professional body. Member benefits typically include contemporary information on factors that can affect workplace practices, like trends in patient needs and regulatory changes. Professional bodies also typically provide ongoing member education and often have periodicals to advance practice.

Additionally, many hold annual meetings where members establish and nurture relationships with colleagues and learn about developments in their field. Thus, professional bodies have an important role in promoting interprofessional care.

This study sought to clarify how professional bodies promote interprofessional care. Specifically, it considered how they characterised such care, given their influence on professional standards and norms. This was achieved by reviewing the most visible representation of professional bodies – namely, their websites.

METHOD

The official websites of 25 professional bodies were examined, spanning five professions and five nations (see Table 1). For this study, a professional body is understood to be 'an organisation with individual members practicing a profession or occupation in which the organisation maintains an oversight of the knowledge, skills, conduct and practice of that profession or occupation' (Science Council, 2019, para. 1). The professions included: general practice, nursing, pharmacy, physiotherapy, and social work. These were purposely selected because of their role in primary care – a sector of growing international significance that requires integrated care delivered by an interprofessional team. The professional bodies spanned: Australia, Canada, New Zealand, the United Kingdom, and the United States. Although these nations have disparate health and social care systems, they were selected because of their shared emphasis on integrated primary care. Given the multiple webpages within the websites of these professional bodies, a strategic approach was pursued to achieve the study aim. Specifically, the content of the following sections was analysed, given they were common to most websites: 'About Us', 'Strategic Plan', 'Benefits of Membership' and/or 'Annual Reports'. Additionally, when available within a website, its search function was used to source references to interprofessional care and other professions and/or professionals. Website content was then extracted into Word and Excel files for analysis, which was guided by the following lines of inquiry: what is the overarching aim of the organisation; what does it do and how does it do it; who are its members; does it recognise members as part of a team; how are other professions mentioned; and how is interprofessional care characterised?

INSERT TABLE 1

RESULTS

General Practice

The aim of these five professional bodies was to 'improve' (AUS) if not 'transform' (US) healthcare, and ultimately the health of its constituents. They espoused the value of primary care, which was often expressed with references to quality, equitable, community-based care. For instance, the Royal College of General Practitioners strived to 'lead… high quality general practice both as a key element in the future pattern of healthcare, as an invigorating environment in which to practise and as a cornerstone of great patient care' (UK). Similarly, the Royal New Zealand College of General Practitioners endeavoured to 'demonstrate the enduring value offered by general practice and general practitioners in a rapidly changing environment by leading and supporting members and general practice to ensure high-quality, equitable care is offered to all patients' (NZ).

Towards this shared aim, the five professional bodies largely undertook three activities. They undertook and/or commissioned research, and/or developed standards and guidelines to clarify the changing scope of general practice and the conditions that enable quality care; they advocated on behalf of members to champion general practice through, for instance, position statements and/or submissions to government; and they educated and trained (prospective) members via professional development opportunities and/or the accreditation of tertiary education.

Given their aim and the objectives, membership was largely open to registered medical practitioners – nationally or internationally – as well as registrars, residents, or students aspiring to be. Although the College of Family Physicians Canada noted that 'licensed physicians' were also required to have a 'good standing', how this was defined was not readily apparent.

Within key organisational artefacts, like summaries 'About Us' and their strategic plans, some professional bodies explicitly recognised general practitioners as part of an interprofessional team, while others did not. Consider for instance, the Royal Australian College of General Practitioners whose strategic plan was largely silent on interprofessional care and potential euphemisms, like teamwork. Although it endorsed the importance of 'Collegiality', this pertained to intra-, rather than interprofessional relationships. Conversely, the College of Family Physicians Canada was more forthright in its interprofessional interests. Given that general practice is delivered in myriad contexts – 'in the office, the hospital… other health care facilities, or the home' (CAN), this professional body recognised general practitioners as part of an interprofessional team. Although general practitioners had particular skills and competencies, these were complemented by other specialities.

This is not to suggest the five professional bodies, did not recognise or make inferences about interprofessional care – but rather, these references (and inferences) were typically embedded within organisational artefacts, like documents on standards, position statements, or news items. For instance, the Royal College of General Practitioners offered a course on 'Management of Obesity in General Practice' (UK), noting that 'the whole primary care team plays a vital part in the improvement in these patients' quality of life'. Similarly, in a position statement on 'General practice-based pharmacists' (AUS), the Royal Australian College of General Practitioners indicated that it 'values team-based models of care in which a range of healthcare professionals can contribute towards patient health outcomes, maximising use of their skills within their scope of practice'.

The College of Family Physicians Canada held clear positions on the importance of interprofessional care. In its 'Vision Statement on Inter-Professional Care' (CAN), the College drew attention to the important role of nurses, 'pharmacists, physiotherapists, occupational therapists, dietitians, [and] social workers'. Similarly, other bodies referred to different interprofessional colleagues. Primary attention was directed to nurses and to a lesser extent, pharmacists, with even fewer references to physiotherapists and social workers – largely by the College of Family Physicians Canada and the American Association of Family Physicians. For instance, in a position statement on 'Breastfeeding', the latter noted that 'Providing comprehensive perinatal services to a diverse population requires a cooperative relationship among a variety of health professionals, including social workers, health educators, nurses and physicians' (US).

Although all five professional bodies recognised the place of pharmacists in primary care, they did so in disparate ways. For instance, the Royal College of General Practitioners praised 'Initiatives such as the practice-based pharmacists scheme' because of their 'real benefits' (UK). Furthermore, it called for 'wider practice team[s]', which extended to 'pharmacists, extended nurse practitioners &

paramedics'. Conversely, the Royal New Zealand College of General Practitioners demonstrated caution. For instance, in its 'POLICY BRIEF' (NZ) on 'Problematic polypharmacy and deprescribing', although the potential value of 'Collaborative prescriber-pharmacist medicine reviews' was noted, evidence for 'pharmacist-led interventions… in primary care' was said to be 'mixed'.

Collectively, these five professional bodies recognise the potential value of interprofessional care. However, some were particularly explicit about the parameters of interprofessional care, ensuring the role of general practitioners was protected.

Nursing

Although the websites of all five professional bodies were examined, that of the Nurses Society of New Zealand was temporary at time of study, offering limited information (see Figure 1). As such, the representation of this professional body within this section is negligible, relative to its counterparts.

INSERT FIGURE 1

Across the five nations, the professional bodies claimed to offer nursing 'a strong collective voice' (AUS) – that is, 'representation' (NZ). Using varied euphemisms, they aimed to 'advance nursing and [relatedly] health' (CAN).

Despite their disparate geographical locations, the five professional bodies collectively represented their constituents via three avenues. They established practice standards, including employment conditions to protect nurse interests; they offered and/or facilitated access to professional development to uphold nursing standards and advance nursing leadership; and they raised the profile of the profession by examining, understanding, and responding to societal changes by, for instance, conferring with government, producing reports, and/or orchestrating campaigns, accordingly (among other efforts).

The efforts of some professional bodies were laudable. Consider the Australian College of Nursing, which – in 2017 to 2018 – submitted '81 POLICY CONSULTATIONS TO GOVERNMENT' and received '84 INVITATIONS TO PRESENT [Australian College of Nursing] ON PROFESSIONAL AND GOVERNMENT BODIES' (AUS). It also spoke of 'empower[ing] our tribe', with imagery that denoted protection in solidarity (see Figure 2).

INSERT FIGURE 2

Similarly, the Canadian Nurses Association consulted members to (re)develop its 'Primary Care Toolkit' (CAN) and its position statements on matters like 'health human resource planning' – both of which are germane to interprofessional care. For instance, the latter recognised that 'successful human resources planning… requires a collaborative, collective and integrated effort among… health professionals'. The American Nurses Association had an expressed interest in 'transforming' (US) patient perceptions. With references to what might be termed, corporate-speak (Czerniawska,

1997), it vied to intentionally raise the profile of nursing among (prospective) patients by, '**dramatically increase[ing]… nurse-to-consumer positioning and awareness** (US, original emphasis).

Given their aim and objectives, membership across the five professional bodies was largely open to nurses registered by the national regulatory body – these included enrolled nurses and students aspiring to be registered as either. There was limited, if any reference to the prospect of membership among nurses who were registered abroad. However, the Royal College of Nursing was also open to health care assistants for who there are 'no set entry requirements' (NHS, nd, para,. 8).

Notwithstanding the Nurses Society of New Zealand, the professional bodies all recognised the place of interprofessional care. Nursing was largely described as requiring teamwork and as such, nurses were required to know how to communicate, collaborate, and complement. Although most references to interprofessional care were embedded within organisational artefacts like position statements, white papers, and other communiqués, some professional bodies – like the Royal College of Nursing and the American Nurses Association – positioned their collaborative stance within their strategic plans.

For the most part, the professional bodies recognised interprofessional care to involve an array of professions. In addition to general practice, these included: 'allied health professionals' (AUS) – notably, 'physical therapists, occupational therapists, speech therapists, dieticians… social workers, psychologists' (US) – as well as 'pharmacists' (AUS).

Collectively, these five professional bodies recognise the potential value of interprofessional care. However, some were particularly explicit about the parameters of interprofessional care, ensuring the role of nurses was protected and their remit, secured

Pharmacy

The professional bodies for pharmacists largely emphasised: community health, using pharmacy as a vehicle towards this; and/or the role of this profession in health improvement. For example, the Australian Pharmaceutical Society aimed to 'improv[e]… health through excellence in pharmacy care' (AUS), while the Canadian Pharmacists Association looked to 'advance health and wellbeing of Canadians through excellence in pharmacy care' (CAN). Conversely, the Pharmaceutical Society of New Zealand aimed to support pharmacist delivery of best practice. The American Pharmacists Association demonstrated an external facing role, stressing the importance of being the 'voice of Pharmacy' (US), while the Royal Pharmaceutical Society aimed to ensure it was at the 'forefront of healthcare' (UK). Only the Royal Pharmaceutical Society identified international ambitions, claiming a desire to become 'a world leader in safe and effective use of medicine'. Like its Canadian counterpart, the Australian Pharmaceutical Society aimed to help pharmacists to realise their full potential.

All of these professional bodies advocated for members, offering professional development opportunities. The Royal Pharmaceutical Society claimed to promote the profession to the media and government. The Pharmaceutical Society of New Zealand specifically noted its offerings of professional development on leadership. Only the Canadian Pharmacists Association emphasised health promotion and disease prevention. Several bodies promoted professional practice standards and guidelines, with the American Pharmacists Association 'disseminating timely relevant information' (US) and also generating 'state of the art' tools and resources. This body also emphasised its role in networking. Only the Australian Pharmaceutical Society drew attention to the impact a strong membership has on 'enhancing the society's influence' (AUS).

Members of each professional body included pharmacists – be they students, those who were qualified, or those who had retired. Additionally, the American Pharmacists Association offered a 'Corporate Supporter Program' (US) to promote discussion between companies and leaders in the American Pharmacists Association.

Only the Canadian Pharmacists Association and the American Pharmacists Association mentioned working with others. The former cited 'collaboration with member organisations' and 'other health providers and stakeholders' (CAN). The latter described members as 'medication experts in team based patient centred care' (US).

Across the five professional bodies, counterpart professions were not specifically mentioned. According to the Canadian Pharmacists Association, teamwork was aimed at patients and business partners with a range of pharmaceutical companies noted as 'organisational affiliates' (CAN). Similarly, the Pharmaceutical Society of New Zealand did not name specific professions – however, integration was identified as one of four pillars of strength. This body then noted others in two of its six key objectives – namely, 'technicians, interns and other health professionals' (NZ).

Physiotherapy

Several of the professional bodies for physiotherapists focussed on the service user, with the Chartered Society of Physiotherapy aiming to 'transform the health and wellbeing of individuals and communities by empowering members' (UK). The American Physical Therapy Association went further, seeking to 'transform society by optimizing movement to improve the human experience' (US). The Australian Physiotherapy Association also focussed on consumers – however, it offered a different perspective by focusing on ensuring the community 'recognise the benefits of choosing Physiotherapy' (AUS). Others concentrated on physiotherapists – rather than the community – with the Canadian Physiotherapy Association striving to offer 'exceptional service, valuable information and connections' (CAN). However, this body was alone in suggesting it aimed for international influence.

All of the professional bodies offered education to members, with the Australian Physiotherapy Association also striving to 'educate and motivate the consumer' (AUS). Advocacy was also important among the professional bodies, with the American Physical Therapy Association, the Chartered Society of Physiotherapy, and the Canadian Physiotherapy Association wanting to ensure access to physiotherapy. The first of these three bodies sought to 'collaborate with government to improve access' (US), while the last claimed to 'ensure equitable access' (CAN). Across the five professional bodies, championing physiotherapy featured prominently, with the Australian Physiotherapy Association 'looking to champion new models of care' (AUS). Similarly, the Canadian Physiotherapy Association 'champion[ed] excellence, innovation' (CAN). The American Physical Therapy Association stood out with its strong collaboration with a range of stakeholders, including patients and practitioners. Through collaboration, they had grand ambitions to 'solve the health related challenges that society faces' (US).

Membership of the professional bodies was largely open to qualified and impending physiotherapists. In some instances, membership extended to associate or assistant physiotherapy staff members.

As noted, the American Physical Therapy Association emphasised collaboration, stating that it 'foster[ed] interprofessional approaches to meet consumer needs and instil team values' (US) among its members. The Australian Physiotherapy Association also stressed teamwork; yet this was more confined to primary care – for example, in musculoskeletal services.

Physiotherapy New Zealand cited other professions in relation to teamwork. For example, the roles of speech therapists and occupational therapists were noted in the context of rehabilitation, while that of dieticians and social workers were noted in the context of managing chronic obstructive pulmonary disease. The Chartered Society of Physiotherapy also referred to a range of professions, though usually in its professional magazine. For example, occupational therapists and nurses were recognised as part of multidisciplinary teams in the contexts of community rehabilitation, trauma, primary care, and stroke rehabilitation.

Social Work

Although all five professional bodies for social workers supported their members, each did so differently. Despite their collective interest in social justice, the Aotearoa New Zealand Association of Social Workers stressed the need to enhance social work for the benefit of 'individuals, family, and communities' (NZ). Among the aims of the National Association of Social Workers was an emphasis on enriching members' professional growth and development to maintain professional standards and advance social policies (US). The British Association of Social Workers stood out, noting they were the 'independent voice of social work' (UK).

Most of these professional bodies promoted the profession and social justice. Specifically, they campaigned and lobbied, with the British Association of Social Workers encouraging members to also do so. The Australian Association of Social Workers and the British Association of Social Workers stressed collaboration with international colleagues, while the Canadian Association of Social Work noted its role in assessing international social workers. Several bodies – like the Aotearoa New Zealand Association of Social Workers and the Canadian Association of Social Work – offered its members professional indemnity. The National Association of Social Workers emphasised how its advocacy efforts benefit all social workers – yet these efforts were solely funded by members. Several professional bodies highlighted the professional development opportunities they provided – in the case of the Aotearoa New Zealand Association of Social Workers, this included networking. The Canadian Association of Social Workers also monitored the media. Both the Australian Association of Social Workers and the Aotearoa New Zealand Association of Social Workers explicitly recognised Indigenous communities, with the values of the latter firmly centred on 'bi-culturalism' (NZ).

Across all five bodies, membership was limited to qualified social workers and those in training. This included internationally-qualified social workers whose qualification was locally-recognised.

The public faces of these professional bodies did not explicitly speak of social workers as part of a multidisciplinary team. However, these could be sourced via additional resources. For instance, the Canadian Association of Social Workers recognised multidisciplinary teams in the context of managing HIV and AIDS. Similarly, the British Association of Social Workers offered a hyperlink to access information about the Social Care Institute for Excellence, which recognised social workers as part of multidisciplinary teams.

Each professional body focussed on social workers, occasionally mentioning other professions. In contrast, the Canadian Association of Social Workers recognised others' roles, including practitioners who 'generat[ed]… referrals' (CAN). These included 'spiritual leaders, family physicians, nurse practitioners, psychiatrists, social and human services providers, guidance counsellors, community centers, lawyers, child care providers'.

DISCUSSION

Integration within the health sector represents a key policy driver and interprofessional care is an important component of this, representing international best practice (Best & Williams, 2019; Goodwin, 2015; Reeves, et al., 2010). Yet such care can be: elusive; difficult to manage; and challenging to deliver (Dickinson, 2014). This is partly due to: varied disciplinary cultures among different practitioners who are expected to collaborate; and their disparate perceptions of their, and each other's roles (Hall, 2009). These (and other) factors can contribute to 'uni-professional silos' (Mitchell, Parker, Giles, & White, 2010). Given their roles, professional bodies might influence the culture of the profession they represent and promote interprofessional care. Yet there is a dearth of scholarship on the role of professional bodies in interprofessional care – this study addresses this void.

The 25 professional bodies, spanning five professions and five nations, demonstrated considerable variation in how they characterised interprofessional care, with nuances between the professions and nations. For instance, those that represented general practice cautiously protected its professional boundaries from perceived competition, like pharmacy. Although they spoke of interprofessional care and recognised its importance, some – like the Royal New Zealand College of General Practitioners – were protective. Others however, were less so – consider for instance, the College of Family Physicians Canada, which was supportive of counterpart professions.

Although nurses' professional bodies advanced their profession, they collectively recognised interprofessional care, all while protecting their remit. This might partly reflect growing interest in the role of nurse practitioners and other nursing specialties (Van Soeren, Hurlock-Chorostecki, & Reeves, 2011). With the exception of the Canadian Pharmacists Association and the American Pharmacists Association, pharmacists' professional bodies paid little explicit heed to counterpart professions. Although physiotherapists' professional bodies also advocated for their profession, they also advocated for consumers, reflecting extant research (Reeves, Freeth, McCrorie, & Perry, 2002). Furthermore, they espoused the importance of teamwork – however, this was largely limited to other rehabilitative professions, like occupational therapy, speech therapy, and nursing. As others have suggested (Barr, Freeth, Hammick, Koppel, & Reeves, 2006), social workers' professional bodies traversed the divide between health and social care as they espoused their profession and social justice for clients. However, notwithstanding the Canadian Association of Social Work, they did not explicitly speak of social workers as part of a multidisciplinary team, and only occasionally mentioned other professions. This is curious, given expressed interest in social justice and equity.

Despite the value of the aforesaid findings, two methodological limitations warrant mention. First, their currency is likely to be limited, given the cross-sectional study design, in which a snapshot of discourse on interprofessional care was captured at one time-point. Second, given limited familiarity with the websites that were analysed, it is possible that pertinent content was inadvertently overlooked. Although key sections were purposely reviewed – including the précis of each professional body and their strategic plans – and although the search function of each website was used, when available, to source references to interprofessional care and/or other professions, it is possible that content on interprofessional care was unheeded. Nevertheless, it would appear such content was not salient, given the approaches used to comprehensively source relevant content.

Notwithstanding these limitations, the findings from this study have implications for professional bodies and scholars. For professional bodies, the findings suggest there is considerable opportunity to explicitly promote interprofessional care. Although the dominance of medicine is well-established (Bleakley, 2013; Wranik & Haydt, 2018), each profession has a role in redressing power differentials.

This is not to suggest they dilute or relinquish their expertise – but rather, they have shared aims and shared objectives to achieve these. This will require role clarity, trust, confidence, a capacity to overcome differences and adversity, as well as collective leadership (Bosch & Mansell, 2015), all of which might be cited within strategic plans and reinforced by incentivising interprofessional development opportunities. For scholars, the findings forge a path for future research. This might include an examination of how professional bodies engage and interact with different stakeholders – within and beyond their profession – to promote interprofessional care, as well as the associated effects. Further to this are opportunities to include: additional professions – like dietetics, occupational therapy, and psychology; additional nations – notably, those with different health systems; as well as additional professional bodies that represent the same professions within the same nation.

Given the importance of interprofessional care, this study is both timely and important. Yet, it also reveals how professional bodies and scholars can further the cause.

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TABLES AND FIGURES

Table 1: Professional Bodies

	Australia	Canada	New Zealand	United Kingdom	United States
General Practice	Royal Australian College of General Practitioners	College of Family Physicians Canada	Royal New Zealand College of General Practitioners	Royal College of General Practitioners	American Association of Family Physicians
Nurse	Australian College of Nursing	Canadian Nurses Association	Nurses Society of New Zealand	Royal College of Nursing	American Nurses Association
Pharmacy	Australian Pharmaceutical Society	Canadian Pharmacists Association	Pharmaceutical Society of New Zealand	Royal Pharmaceutical Society	American Pharmacists Association
Physiotherapy	Australian Physiotherapy Association	Canadian Physiotherapy Association	Physiotherapy New Zealand	Chartered Society of Physiotherapy	American Physical Therapy Association
Social Work	Australian Association of Social Workers	Canadian Association of Social Work	Aotearoa New Zealand Association of Social Workers	British Association of Social Workers	National Association of Social Workers

Figure 1: Nurses Society of New Zealand Website

Figure 2: Images from the Australian College of Nursing Website

02. Entrepreneurship, Start-Ups and Small Business

Delivered Session

Membership vs. Embeddedness: How involvement in professional associations while overseas influence entrepreneurial intention of returnees

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02. Entrepreneurship, Start-Ups and Small Business
Delivered Session

Membership vs. Embeddedness: How involvement in professional associations while overseas influence entrepreneurial intention of returnees

ABSTRACT: *Using a collected sample of 350 returnees in China, we examine how being a member of and embeddedness in host country ethnic and non-ethnic professional associations while overseas impact returnees' entrepreneurial intentions after returning to their home country. We also investigate the role of home country networks in transition from having entrepreneurial intentions to potentially engaging in entrepreneurial activities. Our findings show that while membership of ethnic professional associations increases returnees' entrepreneurial intentions, membership of non-ethnic associations has no such effect. However, embeddedness in these associations increases returnees' entrepreneurial intentions in both cases. We further find that home country social networks promote the transition from just having entrepreneurial intentions to potentially becoming an entrepreneur.*

Keywords: Returnee Entrepreneur; Ethnic professional associations; Non-ethnic professional associations; Membership; Embeddedness; Entrepreneurial intention;

The role of social network ties in the entrepreneurial process is well recognized, especially for immigrant, returnee, transnational and other cross-border entrepreneurs (Chen & Tan, 2009; Drori, Honig, & Wright, 2009; Vaaler, 2013). Mainly focusing on ethnic links as a form of social network ties, the literature on immigrant and transnational entrepreneurship has highlighted the crucial role of host country ethnic ties in driving entrepreneurial process (Aldrich & Waldinger, 1990; Granovetter, 1995; Levie, 2007). These literatures also acknowledge the importance of non-ethnic host country ties for the entrepreneurial process (Portes & Sensenbrenner, 1993; Rusinovic, 2008). However, with few exceptions, the literature on returnee entrepreneurship is relatively silent on how host country network experiences impact entrepreneurial intentions and activities after returning back to home country. In this study, we explore how being a member of and embeddedness in host country ethnic and non-ethnic professional associations while they were overseas impact returnees' entrepreneurial intentions.

Recently, a very small number of studies have examined different types of ethnic ties among returnee entrepreneurs (e.g. Pruthi, Basu, & Wright, 2018; Qin, 2015). Their findings indicate how even just the ability to reach to such ethnic ties (at home or overseas) influences returnees' entrepreneurial

decisions after returning to the home country (Pruthi, 2014). However, it remains unclear how returnees convert their potential to reach and acquire to actual acquisition of valuable information and resources through these ties. Similarly, we know from immigrant entrepreneurship literature that migrants' non-ethnic ties are an important form of social capital for them (Kloosterman, 2010; C. L. Wang & Altinay, 2012). However, until now, no studies investigated non-ethnic ties developed in host country and how these impact entrepreneurial process of returnees. This is an important omission, as non-ethnic ties can be another important source of social capital for returnees (Filatotchev, Liu, Buck, & Wright, 2009; Liu, Lu, Filatotchev, Buck, & Wright, 2010). As Pruthi et al. (2018) suggest, more research is needed.

Drawing on insights from the embeddedness literature that emphasizes how embeddedness with others assists in in acquiring valuable resources from them (Granovetter, 1985; Uzzi, 1996), and linking these insights to the literature on returnee entrepreneurship, we theorize the distinct and separate impacts of membership and embeddedness in ethnic and non-ethnic professional associations while overseas on returnees' entrepreneurial intentions. Simultaneous exploration of membership and embeddedness provides a deeper understanding of how the ability to reach to and acquire resources from the overseas professional associations contribute to entrepreneurial intentions on their return to home countries.

We show that while membership in ethnic professional associations **(hereafter EPA)** increases returnees' entrepreneurial intentions, membership in non-ethnic professional associations **(hereafter NEPA)** has no such effect. However, embeddedness increases returnees' entrepreneurial intentions in both cases. Furthermore, we show that these associations develop entrepreneurial intentions through embeddedness and just being a member without being embedded doesn't have any impact on (in the case of ethnic) and may even hamper (in the case of non-ethnic) entrepreneurial intention.

THEORY AND HYPOTHESES

2

Membership in Ethnic Professional Associations and Returnees' Entrepreneurial Intention

Ethnic professional associations (EPA) are formed on the basis of individuals who have common ethnic backgrounds and are working in the same industry. They have been an important form of communities and they differ from the traditional ethnic associations as they have an explicit focus on business and career activities (Quan & Motoyama, 2010; Saxenian, 2002). We argue that membership in EPAs while overseas impact entrepreneurial intentions of returnees through three mechanisms.

First, returnees can reach and potentially obtain high-quality and tacit information based on membership in EPAs (Boyd, 1989; Saxenian, 2005). Opportunistic behavior risk associated with information exchange can be reduced by engendered solidarity, trust and altruistic support of such ties (Ruef, Aldrich, & Carter, 2003; Vaaler, 2013; Wicks, Berman, & Jones, 1999), and even a phone call can provide high-quality information (Lewicki & Bunker, 1996). Utilizing such information and resources help member returnees identify opportunities and take advantage of them (Choi & Shepherd, 2004; Vaghely & Julien, 2010), and raise their entrepreneurial intentions. Second, EPAs in host countries commonly serve as conduits for disseminating information about success stories and positive outcomes of their members, including those members who are entrepreneurs. Because they share a common culture, nationality, and background, returnees are more likely to be inspired by successful co-ethnic entrepreneurs than non-ethnic entrepreneurs (Mars, 1984). Third, membership in EPAs help returnees maintain home country networks, which can be lost when moving abroad. EPAs in host countries could be a channel for disseminating information related to home country, such as the market-specific knowledge, industry trends, and changes in government policy (D. Lin, Lu, Liu, & Zhang, 2016; Sine & David, 2003). This would increase their probability of being aware of opportunities and make it easier to find necessary support on their return (Ardichvili, Cardozo, & Ray, 2003; Autio, Dahlander, &

Frederiksen, 2013). Given the information benefits derived from EPAs (e.g., high quality information, entrepreneurship information, and home country information), we posit that:

H1: Membership in ethnic professional associations (EPAs) in host country is positively related to returnees' entrepreneurial intention after returning to home country.

Embeddedness in Ethnic Professional Associations and Returnees' Entrepreneurial Intention

Although membership in an ethnic professional association (EPA) enables returnees to potentially access resources while abroad, this may not in itself enable them to tap into valuable information and receive full supports. In order to ensure acquisition of valuable information and resources, members may need to embed themselves in EPAs (Granovetter, 1985; Ozdemir, Moran, Zhong, & Bliemel, 2016). Embeddedness in our study refers to the extent returnees are involved with the EPAs while overseas: i.e. breadth and depth, of returnees' involvement in attending EPAs' business, career, or social events.

First, higher embeddedness in EPAs enables returnees to acquire the high-quality and tacit information in a timely manner. We argue that if they are embedded, they will be amongst the first to know. If they are not embedded, but just a member of the association, they will probably also know, but much later. This is because high quality information and tacit knowledge transfer requires face to face interactions and even customization of the transfer process (Simonin, 1999). Embedded returnees may obtain the high-quality information in timely manner because members are more willing to customize the transfer when face-to-face (Abrams, Cross, Lesser, & Levin, 2003). These rapid flows of high-quality and tacit information enable the members to recognize more entrepreneurial opportunities and increase their intentions towards entrepreneurship (De Carolis & Saparito, 2006; Shane, 2000). Second, embeddedness in EPAs awakens the entrepreneurial inspiration of member returnees, by providing opportunities to actually meet ethnic entrepreneurs in person beyond just hearing or reading about them.

If returnees are actively involved in EPAs' activities, they will have more chances to get to know and be able to engage in more frequent communications with the ethnic entrepreneurs within the associations. This will provide the embedded members more opportunities to learn from them (Yli-Renko, Autio, & Sapienza, 2001), raising their entrepreneurial inspirations (Foss, Klein, Kor, & Mahoney, 2008). Third, embeddedness in EPAs deepens returnees' connections to home country social networks while overseas, which grant domestic resources to raise their entrepreneurial intentions after return. Greater involvement in the activities organized by EPAs helps the returnees to be familiar with and understand actors in home countries, thus overcoming the physical distance between the them and home country stakeholders (Lin et al., 2019). Thus, connections with home country social networks are beneficial for opportunity identification in home country that motivate exploitation of these opportunities for economic benefits though entrepreneurship (Foss et al., 2008; Guerrero, Rialp, & Urbano, 2008).

In sum, combining the above three mechanisms that being embedded generates, i.e. i) timely access to high quality information and resources, ii) opportunities for connections to successful ethnic entrepreneurs, and iii) deeper connections to home country social networks, we argue that:

H2: Embeddedness in ethnic professional associations (EPAs) in host country is positively related to returnees' entrepreneurial intention after returning to home country.

Membership in Non- Ethnic Professional Associations and Returnees' Entrepreneurial Intention

In this study, we classify those professional associations that are formed on the basis of individuals who are working in the same industry regardless of their ethnic backgrounds as non-ethnic professional associations (NEPAs). In that sense, NEPAs based on occupation bring individuals from different social norms and culture. We claim that membership of such associations while overseas may impact entrepreneurial intentions of returnees through two mechanisms.

First, membership in NEPAs exposes member returnees to novel and non-redundant information, including a broader range of cross-cultural knowledge. Given that identification of new opportunities is impacted by the ability to reach non-redundant information (Arenius & Clercq, 2005; Krackhardt, 1995) and having better elements for creative recombination (Leyden, Link, & Siegel, 2014), membership in NEPAs will facilitate and improve returnees' ability to identify highly innovative opportunities. The new opportunities will increase how desirable they perceive the entrepreneurial opportunity (Krueger, Reilly, & Carsrud, 2000) and, as a result, may drive their entrepreneurial intentions. This argument is consistent with entrepreneurship research that has emphasized the critical roles of heterogeneous knowledge and information in driving one's intentions toward entrepreneurship (Agarwal & Shah, 2014). Second, the different cultural contexts in NEPAs challenge member returnees' cognitive structures (Vandor & Franke, 2016). This potentially augments their ability to identify innovative opportunities by expanding their available knowledge base (Grégoire & Shepherd, 2012; Zhou & Li, 2012). Since diverse knowledge is helpful in the process of identifying entrepreneurial opportunities (Gielnik, Frese, Graf, & Kampschulte, 2012), membership of a NEPA is likely to increase one's ability to start a new business and more confidence in that ability will raise their entrepreneurial intentions. Thus, we argue that:

H3: Membership in non-ethnic professional associations (NEPAs) in host country is positively related to returnees' entrepreneurial intention after returning to home country.

Embeddedness in Non-Ethnic professional Associations and Returnees' Entrepreneurial Intention

While membership in non-ethnic professional associations (NEPAs) is beneficial for reaching novel information and valuable resources, acquiring them from culturally dissimilar members can present significant challenges (Oberg, 1960; Vandor & Franke, 2016). Building on the arguments from the embeddedness literature (N. Lin, 1999, 2001; Ozdemir et al., 2016), we argue that active involvement

in NEPAs can assist member returnees in acquiring resources that facilitate opportunity identification.

First, member returnees participating in NEPAs' activities will be more likely to develop positive attitudes and mutual understanding with culturally diverse members in these associations. Within such relationships, members would be more willing to share or exchange knowledge in a timely and intensive way (Bhagat, Kedia, Harveston, & Triandis, 2002; Inkpen & Tsang, 2005), making novel and non-redundant information available in a timely manner. Second, a deeper level of embeddedness in NEPAs increases their cultural intelligence as cultural learning perspective suggests that cultural intelligence is developed through interactions with culturally diverse people (Earley & Ang, 2003; Thomas, 2008; Wilson, Ward, & Fischer, 2013). Increased understanding of different people and situations helps them gain insights into formerly unknown market practices, which is an important resource in the identification of opportunities (Almeida, Phene, & Li, 2014; Ardichvili et al., 2003; Grégoire & Shepherd, 2012). This is especially relevant for returnees who have become unfamiliar with home country environments after living abroad (D. Lin et al., 2016; D. Lin, Zheng, Lu, Liu, & Wright, 2019; Pruthi, 2014). The ability to deal with uncertain conditions will increase their confidence in performing entrepreneurial activities (Arora, Haynie, & Laurence, 2013; Haynie, Shepherd, & Patzelt, 2012), since entrepreneurship almost by definition involves uncertainty and risk (McMullen & Shepherd, 2006).

In sum, we claim that higher level of embeddedness in NEPAs not only gives these returnees opportunity to acquire novel and diverse information that increases the propensity to recognize innovative opportunities, but also facilitates the development of cultural intelligence that provides them with the ability of function in uncertain environments. Therefore, we posit that:

H4: Embeddedness in non-ethnic professional associations (NEPAs) in host country is positively related to returnees' entrepreneurial intention after returning to home country.

METHODOLOGY

Sample and Data Collection

Given the increasing value of returnees in economic development of emerging economies (Filatotchev et al., 2009; Kenney, Breznitz, & Murphree, 2013), our survey was conducted in China. The sample for this study were returnee members of Shenzhen Overseas Chinese Returnees Association. To test our hypotheses, we collected data through an online survey, which was open from March till May 2019. We initially prepared an English version of the survey based on the established scales in the relevant literatures on returnee entrepreneurship, social networks, and entrepreneurial process. Subsequently, the survey was translated into Mandarin Chinese (by one of the authors) and back-translated into English (by colleagues who are not part of the co-authorship team).

We obtained a total of 350 complete surveys after excluding those with missing data. The returnees in our sample had spent an average of 4.4 years abroad and had returned to China within the previous 4 years of the time of our survey. Of the 301 who were members of overseas professional associations, 133 were members of ethnic; 97 were members of non-ethnic, and the remaining 71 were members of both ethnic and non-ethnic professional associations, while 49 of our respondents were not members of any overseas professional associations while they were overseas.

Dependent Variable: Entrepreneurial intention

Entrepreneurial intention is conceptualized in this study in terms of three dimensions developed by Zapkau, Schwens, Steinmetz, and Kabst (2015). Using a 7-point Likert scale (1 = strongly disagree to 7 = strongly agree), we asked respondents to indicate the extent to which they: i) want to; ii) intend to; iii) will try to start a business within the next three years. Entrepreneurial intention variable is the average of these three items (Cronbach's $\alpha = .97$).

Independent Variables

Membership in ethnic and non-ethnic professional associations

In separate questions, respondents were asked whether they had been a member of a Chinese-only (i.e. ethnic) and all nationalities (non-ethnic) professional association while overseas (1 = Yes, 0 = No).

Embeddedness in the ethnic and non-ethnic professional associations

We have operationalized embeddedness in ethnic (and separately in non-ethnic) professional associations as the degree of returnees' involvement in activities within the associations while overseas. Following D. Wang (2015), we asked the respondents about the breadth (i.e. diversity and frequency) of activities organized by the association (such as professional, educational, and social) and depth of involvement (i.e. attendance frequency) in those activities. We measured embeddedness through combining breadth of activities and depth of involvement: a member who participated in more activities organized by the association is more embedded in that association. Because of the range of the variable, we use its logarithm as the embeddedness value. The specific formula (for EPAs) is as follows (and a separate calculation is done for embeddedness in NEPAs using a similar formula):

Embeddedness in EPA=ln((Number of professional activities available each year x Percentage of attending professional activities each year + Number of educational activities available each year x Percentage of attending educational activities each year + Number of social events available each year x Percentage of attending social events each year) x years for affiliation in EPA)

Control variables

We controlled for returnees' gender, age, purpose for going overseas, overseas duration, and years since return. We also controlled for entrepreneurial exposure measured using two types of entrepreneurial exposures adopted from (Zapkau et al., 2015). Entrepreneurial exposures were captured

by 'Yes' (coded 1) and 'No' (coded 0) responses to the following two questions: (1) Have your parents previously started a business? (2) Have you previously worked for a newly founded firm?

ANALYSIS AND RESULTS

Linear regression analysis was used to test our hypotheses. The results of linear regression analyses were further corroborated by Structural Equation Modelling. Table 1 presents descriptive statistics and correlation matrix for all variables in our study. Table 2 reports the results of the regression analyses.

Insert Table 1 and 2 about here

Hypotheses 1 predicts that membership in ethnic professional associations (EPAs) while overseas is positively associated with the returnees' entrepreneurial intentions after return. Model 2 shows a significant and positive effect of being a member in EPA on returnees' entrepreneurial intentions (b=0.454, $p<0.01$), offering strong initial support for Hypotheses 1. On the other hand, Hypotheses 3 argues that membership in non-ethnic professional associations (NEPAs) while overseas has a positive effect on the returnees' entrepreneurial intentions after return. The regression result of Model 2, however, shows an insignificant effect of being a member in NEPAs on returnees' entrepreneurial intentions after return (b=0.143, $p>0.1$). Therefore, the statistical analysis results fail to support Hypotheses 3.

Hypotheses 2 posits that embeddedness in EPAs while overseas is positively associated with returnee' entrepreneurial intentions after returning to home country. Model 3 shows that this variable is significantly and positively related to returnees' entrepreneurial intentions (b=0.204, $p < 0.05$), providing support for Hypotheses 2. Moreover, we also note that the coefficient for membership in EPAs is not significant anymore. In other words, while Model 2 showed that being a member was beneficial, results of Model 3 highlights the importance of being embedded over and beyond just being a member.

Hypothesis 4 suggests a positive relationship between embeddedness in NEPAs and returnees'

entrepreneurial intentions after return. Although no significant positive association is found between membership in NEPAs and returnees' entrepreneurial intentions (Model 2), our result from Model 3 shows a significant and positive relationship between embeddedness in NEPAs and returnees' entrepreneurial intentions (b=0.391, $p<0.001$). The result reveals that the embeddedness rather than membership, raises the returnees' entrepreneurial intentions after return, thereby offering strong support for Hypothesis 4. Furthermore, the results also show that a lower degree of embeddedness in NEPAs would also not be sufficient for raising returnees' entrepreneurial intentions unless the level of embeddedness reaches to 3.128 (i.e. attending at least 15-20 events of the association). We further discuss the implications of these findings in the discussion and conclusion section below.

DISCUSSION AND CONCLUSION

In this study, we examined how membership and embeddedness in ethnic and non-ethnic professional associations in host countries are related to entrepreneurial intentions of returnees when they return to home countries. The current literature on returnee entrepreneurship is relatively silent on how host country network experiences impact entrepreneurial intentions and activities after returning back to home country: it is largely unconnected with issues between host country ties of these returnees and the entrepreneurial process. Instead, emphasis is placed on the importance of home country networks for such activities and for firm performance after the new venture is established (e.g. D. Lin, Zheng, Lu, Liu, & Wright, 2019). Given the importance of ethnic and non-ethnic host country ties as a potential source of social capital for the returnees compared to the locals, carefully understanding how such host country ties impact entrepreneurial process of returnees, as we carried out in this study, is crucial to developing a more complete understanding of returnee entrepreneurship. Moreover, our findings suggested that ethnic professional associations (EPAs) also play a critical role in the entrepreneurship

process. Specifically, membership and embeddedness in host country EPAs drives the returnees' intentions toward entrepreneurship after their return. That membership in such associations generate a greater level of entrepreneurial intentions further corroborate prior returnee studies that have argued that access to valuable information and resources from EPAs facilitates returnees' decisions in pursuit of entrepreneurial career (Qin & Estrin, 2015). Our study extends these studies by considering the acquisition of these resources. Building on insights from embeddedness research that have emphasized the important role of individuals' embeddedness in sharing or acquiring resources (Ozdemir et al., 2016), we found that embeddedness in these associations represents the primary way to help returnees obtain the valuable resources from EPAs beyond just sole membership can provide. In other words, our findings imply that while membership in EPAs help returnees increase their entrepreneurial intentions, the level of entrepreneurial intentions is even higher for those who were embedded in these associations.

Second, we found that while having a membership in non-ethnic professional associations (NEPAs) may provide the potential of easy access to novel information and cross-cultural knowledge, simply being a member is not sufficient. Our findings confirm that returnees need to be deeply embedded in NEPAs through active involvement in order to help them develop the necessary cultural intelligence, circumvent potential cultural conflicts, and ensure the acquisition of novel and diverse information from other diverse members. In demonstrating the benefits of embeddedness in NEPAs in the host country, our study responds to Wright (2011's) call to investigate the returnees' overseas activities prior to return to the home country. In doing so, we contribute to the developing literature on returnee entrepreneurship, by investigating whether and how membership of and embeddedness in non-ethnic professional associations influence returnees' entrepreneurial intentions and by showing how the embeddedness in NEPAs while overseas can shape returnees' entrepreneurial intentions when they return to home country.

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Table 1:Descriptive Statistics and Correlation Matrix

Variable	Mean	Std.	1	2	3	4	5	6	7	8	9	10	11	12	13
1Entrepreneurial intention	5.363	0.072													
2Entrepreneurial probability	68.674	1.381	0.831												
3EPA Membership	0.583	0.026	0.181	0.168											
4NEPA Membership	0.480	0.027	0.009	-0.032	-0.312										
5EPAEmbednedness(logged)	2.199	0.107	0.248	0.239	0.933	-0.254									
6NEPAEmbednedness(logged)	1.627	0.098	0.134	0.089	-0.225	0.926	-0.146								
7Home country social network	4.979	0.071	0.375	0.331	0.273	0.009	0.312	0.139							
8Gender	1.494	0.027	0.056	0.000	-0.033	-0.081	-0.043	-0.040	0.039						
9Age	1.469	0.028	0.067	0.093	0.082	0.157	0.142	0.150	0.109	-0.099					
10Purpose for overseas	2.137	0.045	0.116	0.166	0.158	0.061	0.198	0.085	0.179	-0.113	0.198				
11Overseas duration	4.403	0.127	0.201	0.166	0.122	0.121	0.233	0.181	0.168	-0.086	0.372	0.376			
12Years since return	3.357	0.140	0.023	0.013	0.036	0.097	0.073	0.109	0.027	-0.171	0.400	0.000	0.056		
13Parent entrepreneurial	0.446	0.027	0.188	0.148	0.059	-0.102	0.081	-0.035	0.301	0.068	0.032	0.120	0.088	-0.110	
14Work entrepreneurial	0.609	0.026	0.299	0.297	0.070	0.032	0.117	0.109	0.213	-0.015	0.070	0.214	0.077	0.054	0.142

Table 2:Regression Result with Entrepreneurial Intention as Dependent Variable(unstandardized)

	Model 1	Model 2	Model3
Gender	- 0.185	0.198	0.135
	(1.377)	(1.447)	(1.011)
Age=18 - 30 years old			
Age= 31 – 49 years old	-0.080	-0.127	-0.082
	(-0.505)	(-0.801)	(-0.525)
Age= 50 - 64 years old	-0.415	-0.261	0.130
	(-0.604)	(-0.382)	(0.194)
Purpose for overseas= Education			
Purpose for overseas= Work	0.075	0.103	0.054
	(0.394)	(0.542)	(0.294)
Purpose for overseas= Education and work	-0.060	-0.124	-0.088
	(-0.337)	(-0.700)	(-0.507)
Overseas duration	0.120**	0.116**	0.065+
	(3.203)	(3.095)	(1.697)
Years since return	0.017	0.014	0.001
	(0.576)	(0.485)	(0.028)
Parent entrepreneurial exposure	0.371**	0.374**	0.293*
	(2.665)	(2.699)	(2.152)
Work entrepreneurial exposure	0.737***	0.714***	0.585***
	(5.155)	(5.036)	(4.160)
Membership in EPA		0.454**	-0.390
		(3.056)	(-0.991)
Membership in NEPA		0.143	-1.221**
		(0.981)	(-3.223)
Embeddedness in EPA			0.204*
			(2.047)
Embeddedness in NEPA			0.391***
			(3.843)
Observations	350	350	350
Number of variables	9	11	13
R-squared	0.147	0.169	0.220
Adj R-squared	0.124	0.142	0.190

t-statistics values in parentheses

*** $p<0.001$, ** $p<0.01$, * $p<0.05$, + $p<0.1$

Table 3: The Results of Structural Equation Model Analysis (unstandardized).

	Entrepreneurial intention	Entrepreneurial probability
EPA membership	-0.390	-6.326
NEPA membership	-1.221***	-7.364
EPA embeddedness	0.204*	1.662
NEPA embeddedness	0.391***	1.246
Gender(female)	0.135	-2.344
Age(31to 49)	-0.082	1.826
Age(50 to 64)	0.130	14.080+
Purpose for overseas= Work	0.054	3.925+
Purpose for overseas= Education and work	-0.088	4.091*
Overseas duration	0.065+	-0.616
Years since return	0.001	-0.378
Parent entrepreneurial exposure	0.293*	-1.818
Work entrepreneurial exposure	0.585***	1.783
Entrepreneurial intention		9.322***
Home country social networks		-7.317***
Entrepreneurial intention x Home country social networks		1.382***

*** $p<0.001$, ** $p<0.01$, * $p<0.05$, + $p<0.1$

Figure 1: Structural Model Results of the Full Model

*** $p<0.001$, ** $p<0.01$, * $p<0.05$, + $p<0.1$

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14. Technology, Innovation and Supply Chain Management

Interactive Session

Blockchain as a solution for anti-counterfeiting in the supply chain

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ABSTRACT: *This study explores the potential of leveraging blockchain technology to provide a solution for anti-counterfeiting in the supply chain. We explain how blockchain technology, when conflated with nanotechnology, provides a trustworthy link between physical items flowing through a supply chain to the digital records stored on blockchain. A case study of a multi-national manufacturing organization following Action Design Research (ADR) methodology is presented with two significant insights. First, ADR is effective in developing a tailored artefact capable of identifying where and how the technological attributes of blockchain create value for a firm. In this case, an anti-counterfeiting solution. Second, the artefact can be generalized to solve a variety of business problems across industries by leveraging blockchain or other emerging technologies.*

Keywords: Blockchain, Distributed Ledger Technologies DLTs, anti-counterfeiting, manufacturing, supply chain management, Action Design Research ADR, Provenance

14. Technology, Innovation and Supply Chain Management

Interactive Session

BLOCKCHAIN

53% of surveyed executives reported that blockchain is in their top five strategic priorities (Budman, Hurley, Khan, & Gangopadhyay, 2019). Blockchain is a foundational technology that has the power to reshape our economy and society in the coming two decades (Iansiti & Lakhani, 2017), and redefine some of the most fundamental structures of our economy (Beck & Müller-Bloch, 2017). In addition to cryptocurrency applications, blockchain technology can be successfully applied as an anti-counterfeiting solution for goods in the supply chain (Mackey, et al., 2019)

Blockchain is defined as a digital ledger of economic transactions that can be programmed to record not just financial transactions but anything of value (Tapscott & Tapscott, 2018). A blockchain database contains two types of records: transactions and blocks. Blocks hold batches of transactions, every set of authentic transactions are grouped together in a block that is time-stamped, encrypted, digitally signed, verified by the blockchain network members and connected to the previous blocks in the chain tracing back to the genesis block which is the first block in the chain that does not link to a previous predecessor, which makes it almost impossible to manipulate (Tapscott & Tapscott, 2018); (Carlozo, 2017), leading to an increase in the perceived trust of the transaction data.

From an economic perspective, blockchains have created value in one of two ways: reducing the cost of verification and reducing the cost of networking (Catalini & Gans, 2016). However, several design aspects should be considered when looking at blockchain to solve business problems since they do contribute to major differences in the outcome. These design aspects include public vs private, permissioned vs permissionless, consensus mechanisms, mining and the platform on which the blockchain will be built. There are several differences between blockchain and Distributed Ledger Technology (DLT). Nevertheless, the terms are interchangeably used in the literature (Bashir, 2018). This paper tackles the anti-counterfeiting aspects from a broader perspective of value addition to an organization in terms of solving business problem and hence refers to both of them as blockchain.

Several technologies are in use to combat counterfeit products like mobile technologies, Radio Frequency Identification RFID tags (Kamaludin, Mahdin, & Abawajy, 2018), machine learning, and big data (Mackey & Nayyar, 2017). However, blockchain technology offers a better solution to combat counterfeit products entering the supply chain (Clark & Burstall, 2018) because of its unique attributes of immutability, transparency, trust, auditability and verifiability (Scriber, 2018); (Mukkamala, Vatrapu, Ray, Sengupta, & Halder, 2018). These attributes increase trust in the system and make the counterfeiting process more complex and less feasible.

Blockchain technology is still at its beginnings (Panetta, 2019), (Hawlitschek, Notheisen, & Teubner, 2018) and reports show that it is still complex, unstable, expensive and does not achieve initially perceived returns on investment. As such, it is struggling to exit the pioneering stage of its life cycle (Higginson, Nadeau, & Rajgopal, 2019). These critical views are much expected for an emerging technology at its infancy stage which is reflected through the low adoption rate in organizations (Furlonger, 2018); (Gupta & Mondal, 2017). For blockchain technology to gain traction and go into mainstream adoption, there are still several challenges to be addressed (Casino, Dasaklis, & Patsakis, 2019).

ANTI-COUNTERFEITING IN THE SUPPLY CHAIN

The counterfeiting market is expected to reach $1.8 trillion globally by 2020 (Patterson, 2019). The largest portion of counterfeit products will come from the pharmaceuticals industry where an expected $200 million in counterfeit products find their way into the pharmaceuticals supply chains, according to PwC (Clark & Burstall, 2018). The World Customs Organization in Interpol estimated the size of the global market of counterfeit vehicle spare parts to be $12 billion per year (Wei, Sun, Huang, & Li, 2018).

Counterfeiting could be performed through systematic attacks (Yampolskiy, et al., 2018). However, two broad type of solutions are used to ensure product authenticity and combat product counterfeiting: First is track and trace solutions that spans over the supply chain and provide verification mechanism in every node on the supply chain network. For instance, RFID technology

and Electronic Product Codes EPC to be checked throughout the chain. More recently, second type of solutions emerged which is cryptographic solutions that provides digital signatures with private and public key infrastructure (Alzahrani & Bulusu, 2019). For the curious reader, Kovacs, et al. (2014) reports more than 40 unique technologies used for anti-counterfeiting. The corresponding market size of anti-counterfeiting solutions is estimated to be $35 billion (Mackey & Nayyar, 2017).

All previous solutions rely on centralized servers that store, update and verify data which is gathered from multiple verification points in the physical supply chain network. This centralized design exposes the information system to the risk of a single point of failure in the event of technical failure(s) or systematic attack (Alzahrani & Bulusu, 2019). Furthermore, centralized servers provide limited transparency for all participating players in the network, which creates inefficiencies due to the asymmetry of information (Papakostas, Newell, & Hargaden, 2019).

While blockchains maintain the digital records, there is a missing link between the digital records and the physical items flowing through the supply chain. This is referred to as "Oracle Problem" or the inability of a blockchain solution to interact with real-world objects. The "Oracle" is a trustworthy third party that is required to ensure data entered into the records of blockchain authentically represent the real world (Darcy, Alastair, & Brendan, 2018). To address the "Oracle problem", solutions have been offered that 1. 'Tag' physical products at the point of manufacturing by embedding nanomaterial in product layers (Wei, Sun, Huang, & Li, 2018) 2. Use chemicals to safely fingerprint physical products (Kennedy, et al., 2017). Tagged products can then be verified along any point in the supply chain with bio-sensing (Neethirajan, Ragavan, Weng, & Chand, 2018) or optical mechanisms (Chaintoutis, et al., 2019).

ACTION DESIGN RESEARCH (METHOD)

ADR was born from two different methodologies; the canonical Action Research (AR) and the Design Science Research (DSR). Action research is considered to be a good methodology when the objective of the research is to find the interaction between technology, information, humans, and socio-cultural contexts (Mckay & Marshall, 2001). AR creates theory through change, learning and

reflection about an artefact. DSR however, suits problem-oriented research that has focus on artefacts without taking the social and organizational context that affects the design and deployment of those artefacts (Collatto, Dresch, Lacerda, & Bentz, 2018). ADR combines aspects from both AR & DSR to make the intervention of the researcher as vital step in the artefact building process while making the interpretation and learning happen alongside the intervention (Mackrell & Mcdonald, 2016). ADR is composed of four stages and needs to fulfil seven principles as demonstrated in Figure 3.

Insert Figure 1 about here

Sein et al. represented those four stages as follows (2011): Stage 1: "Problem Formulation" which is composed of six tasks largely to find and conceptualize the research opportunity, outline the research question, define roles and responsibilities, and get long-term commitment from contributing organization. This stage should satisfy two principles: practice-inspired research and theory-ingrained artefact. Stage 2: "Building, Intervention and Evaluation" (BIE) happens in iterations to arrive at the anticipated outcome. This stage has to fulfil three principles; reciprocal shaping, mutually influential roles and authentic and concurrent evaluation. It comprises four tasks and falls on a continuum with two poles; on one side we find the Information Technology-Dominant BIE, which is suitable when the focus is on the technological innovation itself. And on the other side we find Organization-Dominant BIE, which is suitable when the primary resource of innovation is the organizational intervention. The iterative process is demonstrated in Figure 2.

Insert Figure 2 about here

Stage 3: "Reflection and Learning" has three tasks: analyzing the intervention results, reflecting on the design and redesigning the artefact. This stage has to fulfil the principle of guided emergence. Stage 4: "Formalisation of Learning" is to draw generalizations about the developed artefact. This stage must fulfil the principle of generalizable outcomes by theorizing from the learnings and applying them to other organizations.

The aim of ADR is first, to construct an artefact that is manifested by a series of structured workshops designed to explore the potential leverage of blockchain in a manufacturing industry for anti-counterfeit solution. Second, ADR aims to generalize the artefact along three new dimensions; from counterfeiting to new business problems, from manufacturing to new industries and from blockchain to new technologies.

CASE STUDY – COUNTERFEITING IN A MANUFACTURING ORGANIZATION

To arrive at the intended artefact, the ADR methodology requires several iterations. The starting point was exploring the potential of blockchain technology as a solution for anti-counterfeiting and therefore, the ADR methodology was applied to a large multi-national manufacturing organization with more than 15 production facilities worldwide and distributors in more than 60 countries. The organization employs over 2,200 employees and exports to more than 80 countries across a range of industries with top 100 fortune companies among their established customers. The organization (referred to as ABC) delivers value through four different business models; make to order, make to stock, buy to order (Gosling & Naim, 2009) and servicing (their products). One of the biggest pain points for ABC is counterfeit products entering their markets under their brand name. Counterfeits are unreliable and have short-life cycles.

> "Our brand image is hurt and our integrity is questioned because of those counterfeit products…" (pers comm CFO of ABC).

Following ADR stages and principles, four workshops were conducted with ABC to explore the possibilities of leveraging blockchain technology as a solution for anti-counterfeiting. The first workshop was to set the context with engaged stakeholders and ensure common understanding was established for the process of ADR and blockchain technology, its attributes, potential and use cases from the manufacturing industry. The workshop offered participants a rich and common understanding of the market potential of blockchain by exploring relevant use cases from the manufacturing industry and in the extended supply chain. This step was intended to expand the cognitive horizons of participants and enhance depth perception in what can be achieved. The key

learnings from this workshop were: 1. the importance of establishing the baseline to ensure that all participants have common understanding of the situation and are geared to further the subsequent workshops. In addition, this baseline unified the understanding of the terminology for the workshops, especially the ones around the blockchain itself, like the differences between blockchain and Distributed Ledger Technologies (DLTs), permissioned vs. permissionless blockchain, public vs. private blockchains, smart contracts, mining, consensus algorithms, etc. 2. having participants who are already aware of the blockchain technology enhanced the discussions, enriched them and shortened the workshop duration while achieving a greater level of understanding.

The second workshop explored each of the attributes of blockchain technology independently. The team concluded that having an immutable, decentralized and verifiable platform that gives full visibility and transparency to all stakeholders were the main attributes that set blockchain technology ahead of all counterpart technologies to establish an effective anti-counterfeit solution. However, several challenges emerged to which solutions require further development. One of the biggest challenge was the "Oracle Problem" or the inability of a blockchain solution to interact with real-world objects to ensure data entered into the records of blockchain authentically represent the real world. For that purpose, nanotechnology was found to be one of the best candidates to close this gap. The key learning from this workshop was: having an expert who understands the big picture of the business is essential to reflect on how a change in one element of business might impact several other elements. For example, how the risk of missing an essential partners signing up for a collaborative anti-counterfeiting solution could potentially ruin the effort and collapse the proposed solution. The CFO of ABC was the main stakeholder in the workshops and had 30 years of tenure with the company.

During the second workshop a detailed step of whether a solution can be achieved <u>without</u> blockchain technology was introduced to the artefact. Similar to the notion of 'fail fast' this step was found to be very valuable in identifying solutions that offered limited potential value. For instance, using blockchain technology to document transactions on peer to peer energy trades was found to be completely viable and less costly using a centralized server and database. Conversely, conflating

blockchain with nanotechnology (molecular fingerprinting physical products and uploading the fingerprint to the blockchain) for documenting transactions on products with long life, high value, and/or multiple points of future ownership transfer was found to be uniquely aligned with blockchain attributes and capabilities

The third workshop explored the foreseen implementation challenges for the proposed solution for ABC. For instance, it is an essential part of the solution to have scanners compatible with the selected nanotechnology at different points in the supply chain. One of them could be Positive Material Identification PMI gun. However, proper due diligence is necessary before going ahead with the nanotechnology that will couple the blockchain. Key learnings from this workshop were: 1. documentation, preparation and offline communication were very necessary to ensure all participants were on the same level of understanding. In addition, it helped to improve communication, explore opportunities and come up with fresh ideas. 2. Defining the boundaries of the artefact to limit details and unrelated discussions was important to retain focus. For ABC the decision to set aside the exploration of best nanotechnology to be coupled with blockchain helped in keeping the workshop on track.

The fourth and last workshop aimed to investigate the elements that will assist in building the business case. In this workshop, the participants decided that best solution would reflect a permissioned blockchain with traditional governance mechanisms in place supporting a digital consensus mechanism. In addition, the team concluded that mining and smart contracts were not required at the current stage of the solution. Other legal considerations were also discussed. Key learnings from this workshop were: 1. A priori documentation and offline communication completed by the researcher helped making workshops precise and concise. 2. Next steps were defined to: explore the need for traditional governance mechanisms supporting the digital governance and investigate legal implications of solution alternatives.

Key outcomes for ABC were: 1. It is viable to build a business case with proper due diligence to explore possible solutions for anti-counterfeiting by coupling blockchain technology with nanotechnology. 2. Other technologies cannot offer the immutability, provenance and decentralization

of the data storage in the same manner as blockchain. 3. Using a scale of low, medium, and high the perceived value conflating blockchain with nanotechnology was estimated to be a medium level. The ease of adopting such a solution is also at a medium level. 4. Proposed solution is aligned with organization's strategy in safeguarding the brand image, ensuring durability of their products and maintaining reliability. 5. The proposed solution will help retaining existing customers and reach a wider population of end customers. 6. The proposed solution will help also minimize the unplanned downtime of customers. 7. The proposed solution fits within current channels of marketing, sales, and service, upskilling is required. 8. The proposed solution contributes to ensuring product authenticity and deliver provenance. 9. Wide scale change management is required across the entire partner network to win their buy-in and adoption of technology as failure to win critical stakeholders on board will pose high risk to the solution. In addition, reskilling is required across the partner networks. All development and maintenance costs of proposed solution might be borne by the organization since they are the main beneficiary of the solution. 10. There is heavy impact on existing processes and proper integration is required across the entire technology stack of the enterprise architecture. 11. The proposed solution does require initial capital investment and much bigger operational investments to be maintained. 12. Private permissioned blockchain is ideal to ensure the network delivers elevated levels of trust and authenticity. However, a permissionless reading option should be available for verification purposes. 13. Mining and smart contracts are not perceived to add value at initial stage. 14. A traditional governance board is required and must be accompanied by other digital governance mechanisms to align with the value proposed to customers.

CONCLUSION

This study showed that for a manufacturing organization, blockchain technology might not form alone an end-to-end solution for anti-counterfeiting problem because of the intrinsic problem in blockchains in their inability to link the physical world to the digital records and for that reason, nanotechnology might cover that gap and get coupled with blockchain to for a seamless solution for anti-counterfeiting. However, careful attention should be given to the context in which these technologies will be adopted. Most impacted areas would be the integration of the new technology across end-to-end business processes internally and the buy-in and adoption of network players externally which might call for traditional governance mechanisms to be established to support the digital counterparts. The use of ADR in formulating an artefact for evaluating a technology as a solution to a business problem is suitable and fruitful. The outcome of first application of this artefact to a manufacturing organization resulted in tailored results to the organization while refining the artefact to be generalized to be applied for a different business problem, in a different industry for a different emerging technology.

LIMITATIONS AND FUTURE DIRECTIONS

The proposed artefact has been applied to only one case study, a large multi-national manufacturing organization. Before findings can be generalized as ADR suggests, several iterations are still required to ensure a stable artefact is produced and generalized findings about blockchain adoption can be confirmed more broadly. This leaves open space for the future work to apply the tool to other business problems, different industries, or other emerging technologies.

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FIGURES

Figure 1: Stages and Principles of Action Design Research ADR, adapted from (Sein et al., 2011)

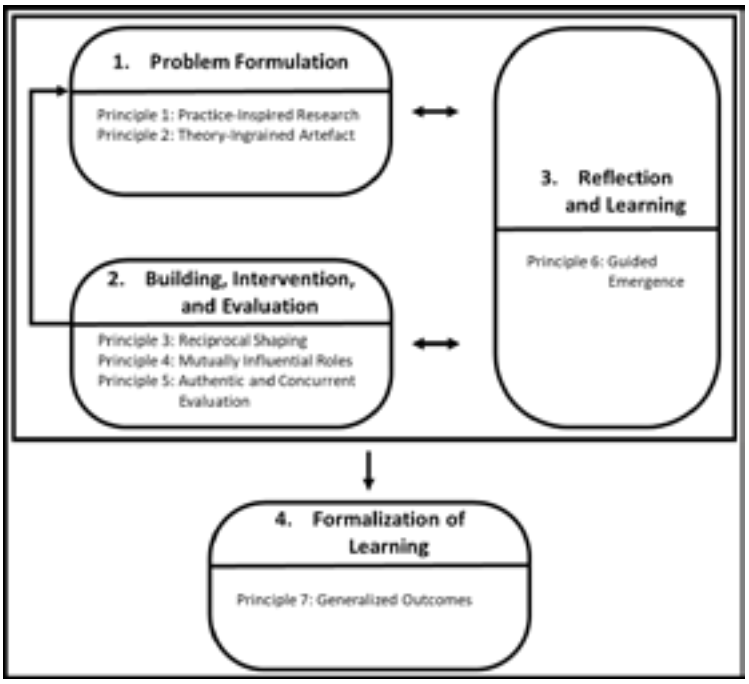
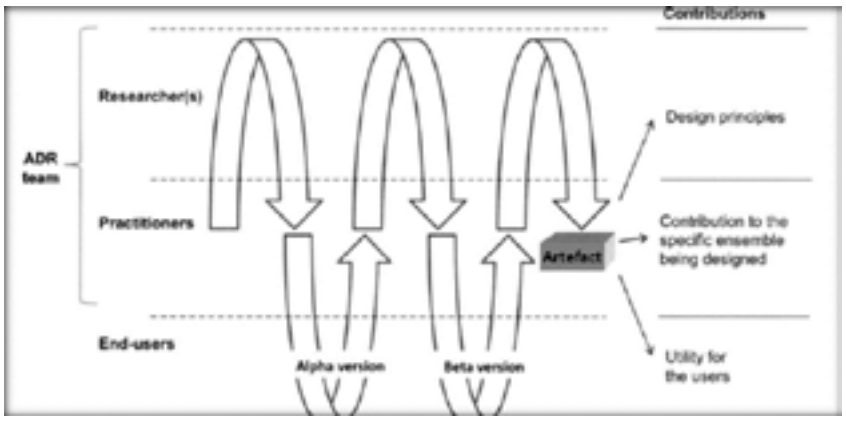


Figure 2: Organization-Dominant Building, Intervention and Evaluation BIE Model, adapted from (Sein et al., 2011)



4. Health Management and Organisation

Interactive session

Considering ontological (in) security and executives in tertiary healthcare organisations

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Abstract

Ontological security or insecurity is an innate proposition which is possibly never consciously recognised by healthcare executives but constitutes a greater part of their approach to work. Humans may express their positions on reality through anxieties, reticence, or opposition when confronted by social encounters which hold unknown outcomes. Or they might celebrate, participate and feel deep satisfaction when involved in positive encounters. Ontological security refers to the confidence that the world is as it should be. It is grounded in expectations of outcomes and relationships and is linked to social integration and social connectedness. This paper discusses the influences of ontological security at the level of the healthcare executive and suggests this facet presents an underdeveloped area in which to pursue a greater understanding of the challenges of healthcare executives.

Key words: Ontological security, Routinisation, Trust, communication, Health leadership

At the organisational level, building and sustaining tertiary healthcare organisations involves the collaboration of many, effective leadership, understanding stakeholders needs and insight into the future path the organisation. From the primary perspective, individuals within organisations may have a greater challenge to building and sustaining their workplace; to contribute to organisational success, to be an effective team member and enjoy a certain level of job satisfaction. This paper outlines the importance of individual ontological security within the social context of building and sustaining the tertiary healthcare workplace. The discussion directs the focus of ontological security towards a non - philosophical stance to focus on the importance of a secure reality in the complex world of the healthcare executive. Social connectedness (Ambrey, Bosman & Ballard, 2018) is identified as an important mediator of trust relationships with other executives. Connecting with others is rudimentary (Bartelt & Dennis, 2014) in functioning within the structures of relationships. The development of trust is a prerequisite of ontological security and necessary for a confident approach to decision making, planning and effective leadership. A secure reality is integral in social reproduction, fundamental to social integration (Kramer, Hoelscher, Nguyen, Day & Cooper, 2017), and reinforces individual agency and self-identity.

Ontology as a construct

The meaning of ontology is diverse and associated with a number of concepts reified by philosophers since the time of Plato. Clarity around its definition is clouded by linguistic inferences, dichotomies of core themes and heuristic interpretations which rely largely on epistemological and phenomenological stance. Ontology constitutes a significant branch of metaphysics; it is the study of what it means to be human, the essence or being of things, including meanings. Abstract or non-tangible concepts such as being, knowing, time and space have long been discussed by the great philosophers spanning the continuum of idealism through to materialism, the dialectic of which has produced some of the greatest innovations in the rise of modern philosophy (Hook, 1934). From the Greek ‘onto’ relates to being or existence; ‘logia’ to science or study.

While philosophy encompasses much of the discussion on ontology, the non-philosophical approach is considered to examine the role of ontological security within the work of the healthcare executive. This constitutes a sociological approach where the underlying structures that affect individuals and groups is examined. This is a focus on identifying parts and processes which contribute to the presence, maintenance or decline of ontological security. Ontological security is defined as "Confidence or trust that the natural and social worlds are as they appear to be, including the basic existential parameters of self and social identity" (Giddens, 1984, p. 375). The satisfaction of this basic human need is integral at the most primary level in the uncertain times of today's complex healthcare organisations. Establishing a satisfactory level of ontological security includes not only maintaining one's own social presence but monitoring the social presence of others. In this way predictability promotes routinisation and habitus (Bourdieu, 1990). Maintaining ontological security is manifest in the behaviours of humans. Gestures, dialogue, dress and social interaction such as turn-taking (Giddens, 1984) are some of the behaviours that mediate the present often with the intent to embed for the future.

The biological mechanisms of ontological security constitute day-to-day activities of individuals and provides the social façade or context with which individuals interact (Giddens, 1984). Engagement with others is, to a degree, manipulative. Testing responses of others with truly held beliefs and interpretations of social events and interactions is undertaken cautiously at first to gauge responses. When reproduction of interactions occurs and the responses appear socially acceptable, individuals may develop a sense of trust in others. Repetitive successful interactions then constitute routinisation within the relationship. This occurs when one individual can anticipate the reactions of another in specific, repeatable scenarios and gauge with some sense of confidence the outcomes of new episodes (Brown, 2000). Routinisation contributes to the ontological security of individuals as they carry out daily activities. This social continuity, in turn, is foundational to maintaining trust in relationships.

BACKGROUND LITERATURE

References to ontological security in contemporary literature is widespread and voluminously applied to the International Relations (IR) realm (Flockhart, 2016; Pratt, 2017). Using a constructivist theorising approach, Flockhart explores the connection between ontological security and change actions in social processes with regard to international interactions. Flockhart's global view highlights change in countries where change appears impossible. Change which envelopes the structural norms and rules of humans and which potentially challenges their ontological security as they reconstruct their world for the purpose of change. Flockhart theorises over maximising the efforts for change through agency of humans and ongoing need to maximize ontological security. She suggests the agency of humans is dependent on the use of narrative and the established identity of humans; "the strategy of being" (Flockhart, 2016, p. 799) and the practices and actions which dictate performances; "the strategy of doing" (Flockhart, 2016, p. 799). Flockhart's' research is applied to change from the agent perspective, suggesting while humans have the capacity to enact change, this may be severely curtailed by a greater need for ontological security, changing the manner in which they put their agency into action and potentially minimising advancements in change processes.

A thought-provoking essay written by Krolikowski (2018) acknowledges the paradoxical effect of authoritarian rule and the ontological security of the people of China. China's growth, particularly since the mid-20th century, has relied on a regime which fundamentally challenges its people through government mandated interventions so severe as to intrude on the privacy and liberty of its subjects. The communist regime is built on social transformation, most of which constitutes benefits for the elite; built on the suppression of the masses. Inhibitory conditions imposed by the regime are manifest through party discourse, deprivation of freedom and political repression (Krolikowski, 2018). Such conditions support the regimes resilience and feeds the greater masses ontological insecurity. In turn, the party-state provides structures which "consist of official discourses that anchor and situate the individuals' experiences within overarching stable, continuous or incrementally evolving structures" (Krolikowski, 2018, p. 913) which impose order and intelligibility in the imposed chaotic state. "It both steals and supplies their ontological security" (Krolikowski,

2018, p. 913). Their article provides a powerful discussion about an extreme situation which has no equal. While drawing similarities between China's party-state and those governance structures of complex businesses is extreme, some consideration can be given to the embedded and imposed structures found in modern-day businesses and the impacts these have on the ontological security of staff. Such measures are hegemonic in complex organisations and include company policy and procedure, strategic plans, expected standards of both personal and business associations and adherence to company values. The parallel with the Chinese regime continues when staff experience challenges to their performances when measures are counterintuitive or there is abrupt and destructive upheaval in their work. The official organisational discourse will continue as the leaders of the company attempt to keep the business stable and functioning. This very discourse, however, may be the cause of the insecurity of staff interrupting the routinisation and predictability of their known reality.

Australia's extended drought which spanned the latter part of the 20st century and into the early years of the 21st century scarred not only the landscape and waterways of most of the continent, but also the security of Australians with respect to long held traditions and practices. This climactic event changed the ontological state of Australians from one of security to one of insecurity (Phipps & Ozanne, 2017). Practice change included the upheaval of conventional routines; the challenge to embed new imposed routines, and the discourse which accompanied the disruption to daily life. The disruption of the lifestyles of Australians produced varying degrees of adaptation fueled by social interplay such as public discussions, government policies, and imposed changes to otherwise innocuous activities which where punitively regulated not only by government, but by neighbours. Adaptation ranged from households having difficulty adapting because of their reliance on materiality (using water to wash cars, water gardens, long showers etc.) through to restoring security by complying with government and social expectations (Phipps & Ozanne, 2017). The drought affected many areas of daily life which were otherwise routinised, predictable and required little to no consideration to undertake on a daily basis. Social identity was challenged as neighbours watched over neighbours to ensure none of the precious drop was wasted. The existential parameters of self

may have required rethinking as to whether compliance should come before the needs of self; and the social ramifications if compliance came second.

There is a paucity of information within contemporary healthcare literature with regard to the influence of ontological security and the healthcare executive. References are tangential to this specific issue and are discussed as many discrete entities. Discussion of social identification and psychological empowerment are ubiquitous in healthcare literature (Bartels, Peters, DeJonge & Pruyn 2009; Callan, Gallois, Mayhew, Grice, Tluchowska & Boyce 2007; Cummins& O'Boyle 2014; Karanika- Murray, Duncan, Pontes & Griffiths 2015). They are also circuitous to ontological security as these concepts draw from collective social attitudes and behaviours (Bartram, Karimi, Leggat & Stanton, 2014), which are dependent upon how the individual translates social acceptability of self and actions. Translation manifests through anxiety and is dependent upon predictability and routinisation of work; counter to the everyday work of the healthcare executive. Empowerment as self-efficacy (Bartram et al. 2014) influences the willingness of individuals to contribute to team success and more so, the behaviours employed by executives to attain personal goals, competency and productivity. Empowerment in healthcare is linked to autonomy and competence and influenced by embedded expectations of the individual's discipline and the equally embedded expectations of associated disciplines.

As routinisation and predictability are not commonly associated with high demand organisations such as healthcare, daily life for executives is otherwise mobilised by tightly held beliefs and processes of the disciplines found within these organisations (Braithwaite, 2006). Social and professional expectations in and between the major disciplines both support and undermine the ontological security of its members. Policy and procedure guide every facet of the healthcare workers actions with regard to patient care, however the social interaction with peers of the same, or alternate disciplines is often heavily scrutinised. Further to this scrutinisation, contemporary healthcare facilities around the globe have undergone dramatic changes to governance structures; this restructuring also contributes to the ontological insecurity of staff. Early work by Braithwaite (2006) found the restructuring of hospital hierarchies caused significant upheavals in the professional/social

integration of the different disciplines such as medicine and nursing. The rise of the health professional/manager also signified a change to traditional roles which challenged not only the health professional/manager, but the relationships this staff had with his non- managerial peers (Dedman, Nowak & Klass, 2011). The routinisation and predictability of roles and responsibilities was changed by the restructuring of the healthcare hierarchy. These changes however, were not automatically situated within the new reality of the healthcare executive. Adaptation to the current governance systems still remains problematic today, healthcare executives remain either in the manager/clinician role (Fulop, 2012) or remain embedded in the rituals and habitus of their chosen professions. While security of the discipline is in some ways satisfying, this exacerbates the problem of interacting with other disciplines and supports ongoing ontological insecurity.

Lack of routinisation and predictability account for much of the changes to the cultures within the reformed hospital system. Reciprocity, or the transactions between differing disciplines in terms of information and expertise exchange (Barrow, McKimm, Gasquoine & Rowe, 2015), is undertaken at asymmetrical levels between doctors and nurses and other ancillary professions contributing to unpredictable interactions between these groups. Clinical protocols are culturally interpreted suggesting routinisation of work, predictability of actions and measures for quality can have different meanings for different disciplines (Barrow et al. 2015). Where routinisation and predictability are absent in the social arena, the sense of ontological insecurity may be heightened through anxiety about outcomes, ramifications of actions and peer scrutiny particularly at multi-disciplinary team level.

Organisational identity is discussed widely within healthcare literature and in healthcare is foremost an issue for ontological security for staff. Distinct from the interpretation of organisation identity relating to the product of all staff and the services provided; organisational identity as a personal employees' identification within the organisation is a complex phenomenon in healthcare (Horton, McClelland & Griffin, 2014). Within the literature the concept of personal organisational identity presents under the guise of structural issues such as job roles and functions (Bartels, Peters, de Jong, Pruyn & van der Molen, 2010) and functional issues such as communication effectiveness

(Nicotera, Zhao, Mahon, Peterson, Kim & Conway-Morana, 2014). Considering these issues are multi-dimensional, discussion around organisational identity would benefit from a foundational perspective such as the ontological security of staff. Drawing issues such as job roles and functions, and communication effectiveness back to the individuals' perception of the security, predictability and routineness of their world provides a starting point from which to build understandings of their interactions with others. Powell, Lovallo and Fox (2011) suggest accounting for individual perspectives and scaling through groups to the organisational level is an effective transition to understanding organisational function.

Ontological security and self and social action

The discussion continues with ontological security within the self and within social action. The former incorporating ideational constructs; perceptions and projections of self. The latter; actions undertaken by actors to maintain balance in their lives and the reception of these actions by others. These two positions provide a means for examining the executives' efforts to maintain their ontological security. In relation to self, the competence of staff and the character of staff have significant impact on whether a trust relationship can be built (Bligh, 2017). Organisational disruptions and upheavals also bear significant influence in establishing trust relationships. Alternatively, alliances which have a common entity such as discipline (medicine, nursing or allied health) bear fruitful, trust relationships (Braithwaite et al. 2016). Trust relationships can also be influenced by limited tenure within the organisation and the subsequent lack of time to establish trust relationships through familiarity.

Discussion relating to social action refers to the parts and processes which contribute to the ontological security of executives. The structures of individual hospital disciplines are embedded in rich histories of development which manifest as tribal like groups who fiercely defend their knowledge, skills and ethos (Braithwaite, 2006). Stoic tribal mindsets contribute to expectations of actions, accepted standards and expected support networks within each entity. Ontological security is regarded as high within discipline ranks. However, it is the joint collaboration or expectation of

working in teams of differing disciplines which threatens the security of reality for many executives. The agency of staff mediates the opportunity not only to participate in collaborative efforts, but to develop and utilise ongoing alliances with others outside their discipline (Igira, 2012). While the broader impact of this process on building and sustaining an effective and efficient organisation is unknown, at staff level there is ongoing disruption, anxiety and poor productivity.

Ontological security, communication and professional relationships

Complex organisations such as healthcare are fluid like; in a constant state of adaptation and change. This flux represents daily challenges for those who lead these organisations. A widely held view is that "the most prevalent determinant of the change process is communication" (Kral & Kralova, 2016, p. 5171). Fine tuning or revisiting strategic directions and the introduction of initiatives to maintain performance relies on effective communication between staff. Familiarity with others supports a social identification that is integral to ontological security and of being seen and heard. Exclusion contributes to ontological insecurity when one is not part of the familiarity circle (Thompson, 2011). Communication as a conduit to establishing relationships and is severely curtailed when roles of co-workers are incompatible or function in a multi-system environment (Putnam & Nicotera, 2010). Structurational divergence theory outlines the impacts on social connectedness and social integration where staff are compelled to respond to more than one system or structure as a result of their role. The conflict arising from such overlapping of activities is directly linked to lower job satisfaction, higher staff turnover and in particular, negative communication cycles (Nicotera et al. 2014). The research from this team posits the problems associated with boundary spanning, or the expectation to contribute across disciplinary lines has ramifications at organisational levels due in part to role conflict, agency loss and threats to the power of professions. Extrapolated further, the threat to individual ontological security is great in light of the instability the multi-team environment. The problems encountered in the multi-team environment have more to do with social identity (Hogg 2001) the balance of power and disparate goals and perhaps less about the task at hand.

Ontological security and the social professional self

The personal reputation of staff is pivotal in supporting a positive sense of ontological security. Zinko and Rubin (2015) constructed an interesting insight outlining the role of reputation in positive self-esteem and the need to belong within organisations. These authors suggest there are positive benefits to identifying employees who utilise high levels of personal reputation both for the individuals' gain and to build and sustain corporate reputations. Building individual reputations includes both a personal and organisational strategy. Where an individual portrays excellence, self-fulfillment, status, legitimacy and credibility, a flow on to corporate benefit must occur for this individual to be of value to the organisation (Zinko & Rubin, 2015). The disciplines of healthcare provide a useful example of where professional and social reputation is highly regarded. Limited tenure is expressed as a normative process at the executive level; the expectation of peers and a positive measure to attain legitimacy, status and a high reputation. The negative effects are felt at a more personal level. The constantly changing employee landscape contributes to an unsecure reality because of disconnect or unfamiliarity with others. There is a synergism between powerful individuals and complex organisations strategically affects performance contributing to positive outcomes for the organisation (Zinko & Rubin, 2015). The challenge to keep successful executives in healthcare includes much more than attractive working conditions. The cultural norms of the disciplines and the stability of the workplace provide a greater hurdle for employers.

Ontological security and self-identity

Reflexivity determines the subjective meaning of identity, relationships and actions not only for us, but as a process to determine or measure how we think others see ourselves (Collinson, 2003). Self -consciousness is an important part of maintaining ontological balance in life; subjective meanings frame the world view and formulate our responses and actions. In tertiary healthcare organisations self -identity is constantly challenged by the ever -changing landscape. Individual concerns about the imposition of social change and the inherent anxieties are reinforced by the individuals themselves as they attempt to regulate their understanding of their identity within that

landscape. Attempting to routinise work practice is part of the natural order for humans to stabilise their reality (Collinson 2003). The practice however contributes to further anxiety as high intensity organisations can never reach a state of stability and permanency; being counterproductive to organisational growth. The sub-surface tensions between medical and nursing staff contributes to an unstable reality for these two groups in healthcare. Organisational practices which require the two disciplines to work together are undermined by the lack of connection between the two groups. These gaps serve to reduce the ontological security of each of the disciplines. The absence of trust stimulates exclusivity and doubt about the others ability to perform. For individuals, this must produce anxiety and a loss of routinisation testing the relationships further. The imbalance within the organisation surely impacts on the collective effort to build and sustain their business.

THEORETICAL AND PRACTICAL IMPLICATIONS

Ontological security has been extensively investigated within the IR realm, and intrinsically applied to business and organisational behaviour scholarship under the guise of self-identity and organisational identity (Garman, Johnson & May, 2015; Leach & Spector 2006; Powell, Lavallo & Fox 2011; Scott & Trethewey 2008). Its application in healthcare has drawn little comment. Healthcare provides a rich landscape within which to investigate ontological security and the (in) security of its inhabitants. These inhabitants occupy professional roles which are diverse, yet service the same community, are fiercely independent and yet cannot function without the other. Working together as teams of healthcare professionals presents a relatively new function which historically was not considered either necessary or achievable. Today, healthcare is complex and relies on the interaction of many skilled and diverse staff (White, Currie & Lockett 2014). The challenges to maintaining a routinised, predictable environment is insurmountable and requires every staff member to adapt on a daily basis. Largely unrecognised as something to come to terms with, ontological security is present in every aspect of everyday life. Researchers who care to investigate this aspect of social conduct may find their answers in the implicitly stated responses of participants when they discuss the problems they face at work. Levels of security will manifest as disruption, unfamiliarity, lack of trust and uncertain futures. These are the key indicators of ontological security. Working

through these with participants will expose researchers to links to many organisational behaviour theoretical frameworks, cross philosophical boundaries including the epistemological and axiological framing of participant's responses.

Further research which incorporates the explanation of ontological security with participants may help those under study to idealise their world views better. Providing a framework which probes the unroutinised, unpredictable and disruptive facets of their lives may cause introspection at a higher level, rather than just probing the normative aspects of work. The practical implications of this for the researcher is more than identifying disruptions to processes, but further, identifying how participants relate this to their social identity. For participants, this understanding may contribute to how they overcome insecurities by recognising disruption from their own perspective than just that of the disruptive episode.

CONCLUSION

To conclude, this paper highlights a different dimension to the study of human behaviour in complex organisations. Ontological security is an important foundational concept when considering the challenges and opportunities to sustaining such organisations through the lens of individual behavior. While the onus of contributing to organisational success is often attributed to teams, the agency of individuals as a result of their ontological security is omnipresent. The ontological security of healthcare workers represents unchartered waters within the study of organisational behaviour. Significantly, healthcare workers find professional and individual self-identity to be a most important characteristic; one which is actively managed and pursued. The expectations of the major disciplines of healthcare are grounded in the performance of individuals; meeting the expectations of peers and other health professionals is linked to having control over one's reality and manipulating that reality for benefit.

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10
Organisational Behaviour
Refereed Delivered Session

A theory of organisational attachment for skill discounted migrants that recognises different work motivations

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ABSTRACT

This paper revises Treuren, Stothard, Hutchinson and Manoharan's (2017) theory of skill discounted migrant workplace attachment to recognise different migrant work motivations. Treuren et al. (2017) proposed that skill discounted migrants would immediately adopt strategies to enable them to acquire a less discounted job elsewhere, leading to a specific type of organisational attachment. Based on a series of interviews with migrants living in Canada, Bauder (2005) identified four distinct and different motivations towards work, of which one corresponds to the motivation assumed in Treuren et al. (2017). We proposed two more, making for six migrant motivations. This paper sketches how differently motivated skill discounted migrants are likely to be attached to their employer.

Keywords: migrants, skill discounting, retention, embeddedness

Skill discounting is a feature of migrant settlement (Dietz, Joshi, Esses, Hamilton, Gabarrot, 2015; Rajendran, Ng, Sears & Ayub, early view; Reitz, 2001; Shirmohammadi, Beigi & Stewart, 2019). Skill discounting occurs when the accumulated qualifications, knowledge, experience, skill and overall capability of a job seeker is under-valued because of membership of a class of people differentiated by, for example, gender, age, ethnicity, migrant status, sexual preference, religious affiliation, disability, neurotypicality, compared to people who possess the characteristics of the dominant community (Esses, Bennett-AbuAyyash & Lapshina, 2014; Creese & Wiebe, 2012; Bauder, 2003). The extent of skill discounting among migrants is not clear. We have estimated that approximately 10% of migrants in the first four rounds of the Continuous Survey of Australian Migration (Department of Home Affairs, 2018) experienced forms of skill discounting that oblige them to find employment in a new occupation (Authors, under review). The migrant adjustment literature has demonstrated that skill discounting can lead to people taking lower-quality and paying jobs within their existing occupation, taking jobs in other occupations (Creese & Wiebe, 2010), taking part-time work (Grant & Nadin, 2007), retraining (Chiswick, Lee & Miller, 2005; Fuller & Martin, 2012), or returning to their country of origin (Winterheller & Hirt, 2017).

Migrant skill discounting has adverse social and economic implications for individuals, employers and the community. First, skill discounting adds to the difficulty of migrant settlement. Migrants experiencing skill discounting are less able to find suitable employment and income, creating additional challenges to the problems of acclimatising to the host nation (La Barbera, 2015). Second, skill discounting means that the full array of skills available to employers and the community is not available, exacerbating existing labour, skill and talent shortage.

This paper is concerned with one aspect of the current understanding of skill discounting: how does skill discounting affect the attachment of migrant employees to their employers? Are these employees more likely to want to leave their employer when they have greater on-the-job link, fit or sacrifice embeddedness when compared to non-migrant employees? Does skill discounting have the same effect across the skill discounted migrant cohort? Employee attachment – as demonstrated in the job embeddedness literature – directly affects employee performance and turnover (Lee, Burch & Mitchell, 2014). Treuren, Stothard, Hutchinson and Manoharan (2017) have proposed a model to

explain the likely characteristics of migrant attachment. This paper proposes a substantial revision of that theory that recognises alternative migrant work motivations, as highlighted by Bauder (2005, 2006).

The Treuren et al. (2017) paper assumed, first, that migrants might have a different form of attachment to the organisation than non-migrant ('local') employees. Second, that migrants may experience skill discounting. Third, and the starting point for this paper, that paper also assumed that the behaviour of migrants could best be explained in terms of optimising, utility maximising behaviour, where skill discounting triggers job search and career development activity designed to obtain the best possible job given the employee's expertise. This assumption is consistent with the skill discounting (Rajendran, Ng, Sears & Ayub, Early view; Shirmohammadi, Beigi & Stewart, 2019) and over-qualification (Johnston, Khattab & Manley, 2015) literatures which hold the typical migrant to want the best application of their capabilities, will actively seek opportunities for the use of those capabilities, and will make decisions about their workplace engagement accordingly (Dietz et al, 2015). Driven by that motivation, the skill discounted employee would form a specific type of attachment to their current employer.

This paper recognises that this argument is applicable but only for *some* migrants. Bauder (2005, 2006) demonstrated that a migrant may have one of a number of different work motivations, and the strength of these motivations can vary substantially between migrants from different countries of origin and between the genders. Bauder identified four types of migrant motivation: employment as economic survival, employment as moral obligation and cultural expectation, employment as a means of social and economic advancement, and employment as a method of social integration.

This paper will, first, introduce Treuren et al.'s (2017) theory. We will then look at Bauder's framework and extend it to include two further motivations: first, employment as a means to obtain a satisfactory and comfortable standard of living; and, second, employment as a means to obtain permanent residency. We will then review and repudiate the Treuren et al. (2017) argument and then remediate and revise that theory, by sketching a model that identifies six different migrant work attachments drawing on the job embeddedness theory (Mitchell, Holtom, Lee, Sablynski & Erez, 2001) to describe how migrants may be connected to the organisation.

This paper makes several contributions to the literature. First, it remedies the errors of the Treuren et al. (2017) paper. Second, and more important, it provides a corrective perspective to the skill discounting and over-qualification literature that assumes the existence of a single motivational type – the desire of an employee to obtain the best job, that uses all their skills – and proposes that employees may have one of several motivations to work. Such an argument enables a more nuanced discussion about the impact of employer skill discounting on migrant job choices and resettlement, and their subsequent employment attitudes and behaviour.

TREUREN ET AL. (2017). A THEORY OF MIGRANT ATTACHMENT

The 2017 paper assumes that migrants may experience skill discounting, which may lead to the employee being obliged to seek a job that does not fully engage the employee's pre-migration capabilities. Skill discounting occurs when recruiters and managers evaluate the skills of migrants as 'worse than those of locals, even if they are factually of the same quality' (Dietz, Joshi, Esses, Hamilton & Gabarrot, 2015, p. 1319). Authors (under review) has estimated that 10.7% of employed male migrants and 7.9% of employed female migrants have experienced skill discounting sufficiently severely to prevent obtaining employment in their pre-migration occupation. This figure is a conservative estimate: it reflects the experience of migrants who were obliged to obtain employment in a new occupation because of skill discounting. A substantially greater number of migrants will have experienced forms of skill discounting that enables them to continue in their pre-migration occupation but work at lower levels, not using the same level of expertise or recognition as a result (Somerville & Walsworth, 2010; Guo, 2009, 2013).

Unable to find a job that uses the skill discounted migrant's full capabilities, the Treuren et al. (2017) model then assumes the migrant employee will seek out ways to reduce the skill discount and a job that better uses the migrant employee's self-perceived pre-migration expertise and status. But the migrant is quickly confronted by two realities. First, the need to obtain an income to pay bills and to minimise the depletion of their savings (Creese & Wiebe, 2010). Second, that the migrant will need to undertake some form of development to improve the labour market valuation of their skills (Fuller, 2015; Anisef, Sweet & Frempong, 2003). The migrant takes a job to ensure their economic survival while seeking development opportunities.

Here the migrant seeks to acquiring experiences that would bring the skill discounted migrant's cultural capital into better alignment with the prevailing norms within the job seeker's occupational market. In Bourdieuan terms, the challenge for the employee is to deploy their economic and social capital to bring the job seeker's cultural capital into better alignment with the prevailing habitus of the job seeker's preferred occupational field. Here the migrant would seek to find ways of developing their set of knowledge, skill and attributes to better fit with the prevailing expectations.

For a migrant who is currently skill discounted, the current job is an interim stop on the journey towards a job with negligible skill discounting. Such a job would – first – satisfy the migrant's need for an income, and in so doing, provide the employee with economic stability from which to seek additional employment. A job also offers the possibilities to acquire social and cultural capital needed to reduce further skill discount. Treuren et al. (2017) hypothesised that for skill discounted migrants, a job has no inherent value beyond the (i) need for economic stability and (ii) the potential to acquire additional capital with which to bring the employee into alignment with the habitus of his or her target occupation.

It is this set of priorities that leads to the skill discounted migrant job seeker to a different organisational attachment, compared to the non-discounted migrant and the typical local employee. Local employees who are happy with their jobs are likely to report a negative relationship between on-the-job linkage embeddedness (OEL), on-the-job fit embeddedness (OEF) and on-the-job sacrifice embeddedness (OES) and intention to leave (ITL), for the reasons outlined in the job embeddedness literature (Lee et al., 2014).

Treuren et al. (2017) argued that skill discounted migrants will have a similar but different set of relationships to their current employer. First, the relationship between on-the-job linkage embeddedness (OEL) and intention to leave (ITL) will be stronger and more negative for skill discounted migrant employees than for non-migrant employees. This is because skill discounted migrants will see increased connections to people as opportunities to develop their social and cultural capital. This follows the argument presented in Kiazad, Seibert and Kraimer (2014) and Treuren (2017) that increased linkage embeddedness may increase the social network and capital of the employee. In those papers, the implication of that increased capital is the ability to neutralise adverse

work circumstances. In this paper, we speculate that the resource of increased social networks increases the capacity of the migrant to obtain better opportunities to develop their cultural capital, their on-the-job skillset as well as their language skills, improving their long-run capital. capacity of the employee to access organisational resources to improve the quality of their work-life – in this case, the on-the-job fit (OEF) and ITL relationship will be weaker (and possibly even positive) for skill discounted migrant employees than for non-migrant employees; on-the-job sacrifice (OES) and ITL relationship will be weaker (that is, more positive) for skill discounted migrant employees than for non-migrant employees (Figure 1).

Figure 1 here

Once the migrant is no longer skill discounted, Treuren et al. (2017) hypothesised that the migrant's attachment behaviour will follow that of the non-migrant workforce (Figure 2).

Figure 2 here

WHY TREUREN ET AL. (2017) IS (PARTLY) WRONG

Treuren et al.'s (2017) model represents a small leap out of the darkness, but it assumes that all migrants have the same work motivation, and thus, the experience of skill discounting is likely to lead to the same response. But studies such as Fuller and Martin (2015) and Winterheller and Hirt (2017) suggest that migrants respond to skill discounting in different ways. We propose that the migrant response to the skill discounting effect depends on their work motivation. Bauder's (2005, 2006) studies of the adjustment process of recent migrants to Canada identified four motivational types. Some are directly affected by skill discounting and some not. Of Bauder's four, one accords with the work motivation implicit in Treuren et al. (2017) and the broader skill discounting and over-qualification literatures. In the first motivation, some migrants were primarily motivated by *economic survival*. This type of migrant is driven by economic necessity and is likely to take the first suitable job that is available, as employment provides the income needed to provide for the costs of living,

even if that job does not use their skills or provide much satisfaction. Second, the migrant is prompted to work through *moral obligation*. In this motivation, the migrant is obligated to work to provide financial support for their family or to minimise their dependence on the host country's welfare system. Third, the migrant is determined to obtain the best job possible, and to quickly re-establish themselves into a social position equivalent to that experienced prior to migration. Bauder called this the *self-advancement* motive. Finally, work can be seen as a means to obtain social and economic *integration* into their adopted country. Work conveys both economic and social benefits. These migrants are concerned to develop their skills, as part of their strategy of fully acclimating to the host country.

Our fieldwork (currently unreported) suggests that two other potential motivations. First, we propose that migrants may be motivated to seek employment that enables the migrant to meet their expectations for a certain standard of living and personal comfort. Once that standard of living is met, the migrant does not feel obliged to find employment that better meets their skill-use needs or status ambitions.

We also propose a motivation where the primary motivation is to obtain the necessary conditions needed to convert a temporary visa into permanent residency. This requires either employer nomination (under visa class 186, 187) or the completion of at least a year of full-time employment. For these migrants, skill use, job satisfaction and income are relatively unimportant beyond the requirements of economic survival, as the employee compromises their personal wishes to maintain a job that will hopefully lead to permanent residency.

These six motivations sketch the motivation prompting migrants to obtain employment. Each reflects a different set of drivers and personal imperatives. Viewed from the perspective of self-determination theory (Ryan & Deci, 2000), each has a slightly different position in the continuum between external regulation and intrinsic motivation.

The different Organisational attachments

If skill discounted migrants are motivated to find employment for different reasons we can also expect attachment to the employer of each of these migrants will also vary. In the case of local employees, the primary motivation is for local employees to find the best job that is available; skill discounting

does not occur and as a result, these employees are relatively able to find the best jobs enabled by their knowledge, skills and abilities (Treuren et al., 2017). For these employees, a better job is characterised by higher levels of on-the-job fit, links and sacrifice.[1] The higher the level of each of these, the greater the perceived value of the job, the organisation and the opportunity cost of leaving the job, and thus has a negative association with intention to leave. This can be seen in Figure 1. The justification and evidence for this argument can be found in the several hundred job embeddedness papers published since Mitchell et al.'s (2001) seminal paper.

We propose that each of the migrant motivational types will lead to a different logic of organisational attachment, and that those skill discounted migrants who possess different motivations will also report different configurations of on-the-job fit, links and sacrifice when compared to local employees. To keep the analysis process manageable, we will compare each of the motivational types against the hypothesised typical local employee. Table 1 summaries the organisational attachment of each type of migrant motivation.

Table 1 here

The attachment of skill discounted migrants motivated by economic survival

For these employees, the criterion is finding and keeping a suitable job, until a better job becomes available. Avoiding job loss is the central concern; issues of satisfaction are relatively unimportant. We propose that an employee with this motivation is likely to have a steeper, more negative relationship between OEL that others: the more connection, the greater productive resources available to the employee (Treuren, 2017). OEF is likely to have a stronger, negative relationship than for local employees: greater fit represents greater connection to the organisation, less chance of losing the position through under-performance. We propose that OES has a stronger relationship with ITL in two ways. That is, compared to a local employee, the skill discounted migrant is less likely to want to leave at all levels of OES; while also being more sensitive to OES. This can be seen in Figure 3.

[1] Here we are following the literature and assuming that local job seekers and employees can be characterized by having a single dominant motivation.

Figure 3 here

The attachment of skill discounted migrants motivated by their moral obligation to work

These migrants are motivated by a perceived sense of duty that holds employment itself, and the consequences of employment such as an income, as an achievement in itself. The conditions of work, the utilisation of skill or the maximisation of status are not as important compared to obtaining and maintaining employment and contributing back to the family and community. Bauder's description of this motivational type indicates no necessity to obtain a job that uses skills (OEF) or achieves any outcomes such as social integration (OEL) or income. Thus, it is hypothesised that these migrants are likely to be primarily concerned to a need to remain employed, creating a higher level of sensitive relationship between OES and ITL. OEL and OEF are relatively unimportant for this motivational type, compared to local employees. This can be seen in Figure 4.

Figure 4 here

The attachment of skill discounted migrants motivated by self-advancement

Treuren et al. (2017) have described this position as having three characteristics relative to local employees. Link embeddedness (OEL) is hypothesised as having a stronger, more negative relationship with ITL. Here increased connection represents greater opportunities to develop new and better social and cultural capital, better enabling the future movement to a less discounted job once the employee has learned all the lessons that organisation may provide. Fit embeddedness also has a particular meaning for these employees: the greater the fit, the greater the over-competence in the job, prompting the employee to look for employment that better uses the employee's capability. Thus OEF is likely to have a relatively positive relationship between OEF and ITL, potentially with a positive correlation. Finally, and most significantly, OES is hypothesised to have negligible meaning for skill discounted migrants seeking a better job – and we assume that the relationship between OES and ITL

for this migrant type is closer to zero (if not indistinguishable from zero), than that for a local employee. This can be seen in Figure 1.

The attachment of skill discounted migrants motivated to increase their social integration

These migrants desire better connection to others, at work and in the community. Thus we propose that the key feature of this migrant motivational type is the relative importance of link embeddedness, reflected in the relative steepness of the relationship between OEL and ITL. A job with few linkage opportunities is less appealing compared to a job with high linkage opportunities. OEF and OES are relatively unimportant for this motivational type, compared to local employees (Figure 5).

Figure 5 here

The attachment of skill discounted migrants motivated to obtain a comfortable living standard

For migrants who hold this motivational type the key issue is obtaining and maintaining the job. Once the right job is found, the primary concern is to not lose the job. Thus, these employees have a high level of sensitivity of OES to ITL. And the worse the fit of the employee to the job, the less comfortable the job, and thus, the greater sensitivity of the employee to OEF. However, compared to the self-development motivational type or the local employee, the use of skills is not very important. Nor is the expansion of connections to people at work, beyond that needed to ensure conviviality, convenience and comfort (Figure 6).

Figure 6 about here

The attachment of skill discounted migrants motivated to obtain permanent residency

We propose that this motivational type is primarily concerned with finding and keeping a job where an employer will sponsor their permanent residency (PR) application. Thus for these people, maintaining the found job is very important: loss of the job may prevent tenure-based application for permanent residency or citizenship status. Here the opportunity cost of losing their job is greater than that of other employees – losing the job means either starting the arduous process of restarting their

campaign for eligibility for PR, or worse, having to returning to their home country. These employees are not especially concerned if a job uses their skills; or whether they are developing their capabilities, but they will be concerned to increase their fit and linkage if that will increase their chances of obtaining employer support for residency. Thus, sacrifice embeddedness is likely to be steeper, and the slope of OEL and OEF is secondary and less important than it would be for a local employee (Figure 7).

Figure 7 about here

Moderators of migrant work motivations

This paper has specified several new work motivations and sketched some likely employee attachments resulting from those motivations. In this section we sketch some thoughts on the factors influencing the work motivation adopted by the skill discounted migrant. Subsequent research will need to test and develop these.

Bauder (2005, 2006) found that that migrant adoption of the four motivations varies by nation-of-origin and gender. For example, Indian respondents were more likely to rate economic survival motivation items more highly, than Chinese and East European migrants and Canadian non-migrants, who all rated those items similarly. At the same time, women also rated the same economic survival items more highly than their male counterparts. Bauder's analysis, however, was incomplete, and was accompanied by a call to undertake more extensive data analysis that controlled for current wealth, stage of life, occupation, education and employment status. We need to investigate these boundary conditions.

We also propose that migrant work motivations are likely to evolve over time. Several motivations are more likely to exist soon after arrival, and some motivations are likely to arise once the migrant is more settled. Using the language of self-determination theory, as the pressure for external regulation eases, the migrants may move to more intrinsic and self-regulated motivations. The survival motivation is likely to exist for many migrants in the early months and years after

arrival. Over time, many will have found better jobs and circumstances and will then adopt other motivations. Once some degree of economic security has been established, the employees is then likely to be motivated by self-enhancement or the desire to attain permanent residency. In the third level, the employee will be motivated by more relatively internal and intrinsic motivations such as satisficing, moral obligation and social integration.

Discussion, limitations and conclusion

The early years of migration for non-sponsored migrants is dominated by the struggle to find stability. Finding suitable employment is central to this, with the migrant first needing to establish economic survival, and then to meet their broader family and personal goals, including the full recognition of these their pre-migration skills. A person with valued skills in their home country may find that these skills may have been enough to win a visa and the ensuing permission to restart their career in a new country, only to discover that these very same skills may not be recognised by employers.

A substantial literature has highlighted this phenomenon, and identified the consequences, and measures the hardship that sometimes follows. But, as noted earlier, this literature does not entirely explain how migrants deal with this situation. Researchers have identified a variety of responses to the existence of skill discounting. This paper, along with Treuren et al. (2017) examines one aspect of this: how the skill discounted migrant employee is connected to their employer.

Treuren et al. (2017) assumed that the skill discounted migrant would have a simple, consistent response: the migrant, full of energy and vitality, driven by ambition and frustration, would seek to find a suitable job that better utilise their skills and matches their perceived social standing. Until the skill discount was no longer applied to them, these employees would see each job as merely a stepping stone to a better, less discounted job, and an opportunity to cultivate the social and cultural capital needed to remove the skill discount. Thus, the desire to remove the skill discounting will prompt a pragmatic strategy aimed at removing the skill discount, and a particular form of attachment with their various employers.

Informed by Bauder (2005, 2006), this paper suggests that this approach may be applicable to some migrants, but not all. We have proposed that a migrant may have distinct and different

motivations guiding their response to skill discounting, and as a consequence, may have a different relationship to their employing organisation. In this paper we briefly sketch six different approaches. Four of these are based on Bauder's findings, and two are based on our own unpublished research.

This paper makes a very preliminary set of comments about what these motivations may be, and how these motivations might moderate the relationship between the experience of skill discounting and the employee's relationship with their current employer. We do not know how many migrants may be classified by the various motivations, nor do we know how these motivations evolve over time, and whether there are specific individual differences or situational factors that prompt or lead to the demise of specific motivational types. These are all questions for subsequent research.

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Figure 2. The skill-gap

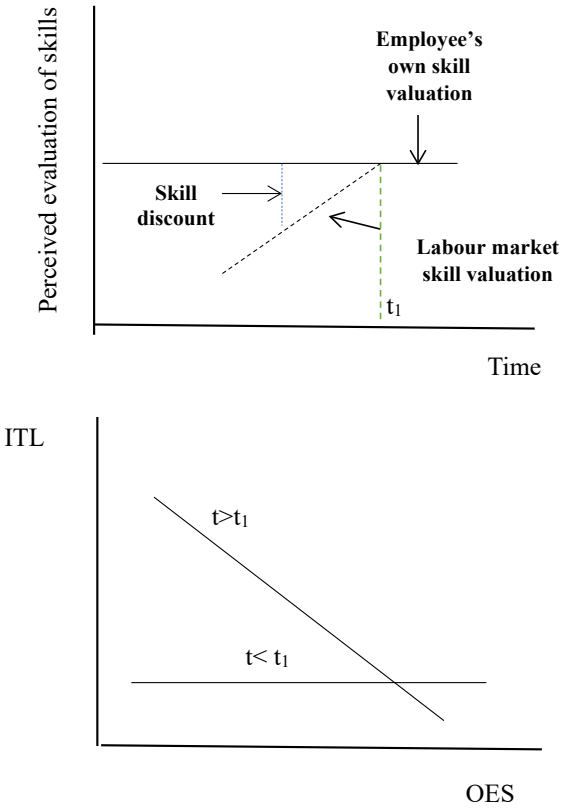
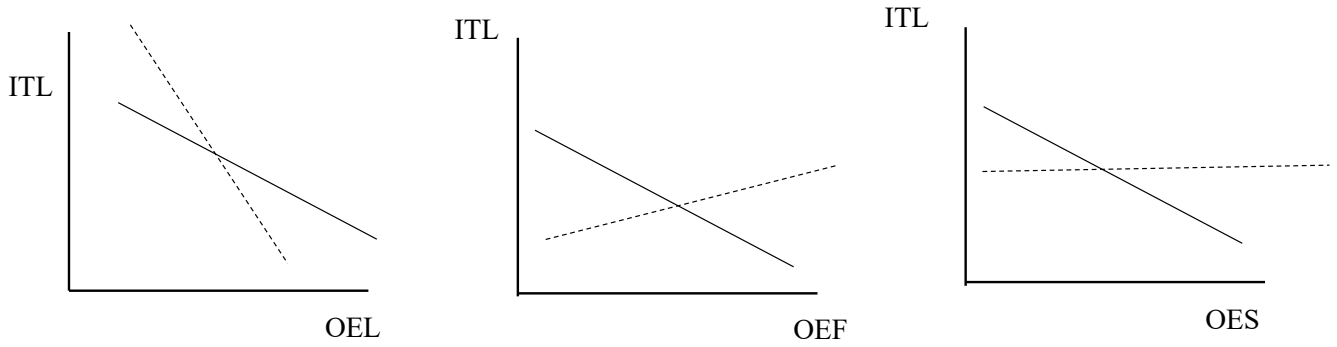


Table 1. Relationship between on-the-job embeddedness component and intention to leave by motivation

Figure	Work motivation	OEL	OEF	OES
1	Local employee	(-)	(-)	(-)
3	Economic survival	Stronger than local	Stronger than local	Stronger than local
4	Moral obligation	Weaker than local	Weaker than local	Stronger than local
1	Self-advancement	Stronger than local	Weaker than local	Weaker than local
5	Social integration	Stronger than local	Stronger than local	Weaker than local
6	Comfortable living standard	Weaker than local	Stronger than local	Stronger than local
7	Acquisition of permanent residency	Weaker than local	Weaker than local	Stronger than local

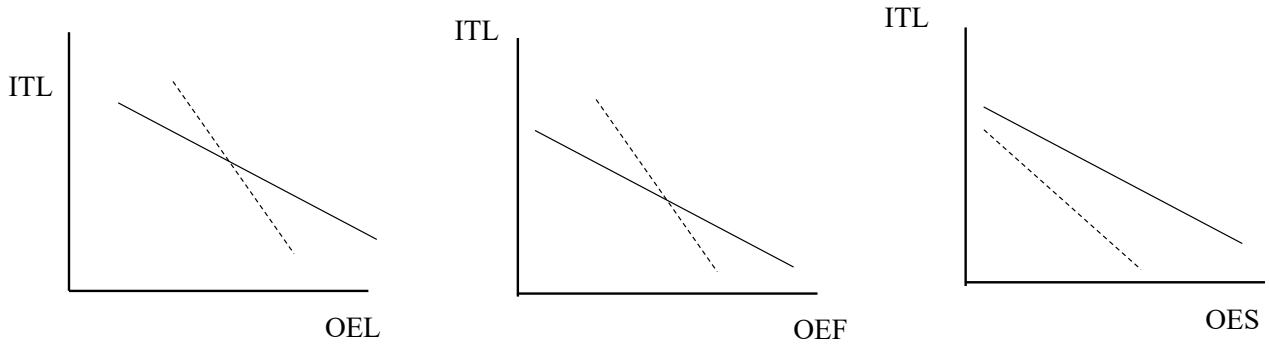
Notes: 1. OEL: On-the-job embeddedness Linkage; OEF: On-the-job embeddedness Fit; OEL: On-the-job embeddedness Sacrifice;
2. Stronger than local: denotes a more negative relationship between embeddedness and ITL; Weaker than local: denotes a less negative relationship between embeddedness and ITL

Figure 1. The hypothesised relationships between intention to leave (ITL) and on-the-job embeddedness components for local employees and self-advancement motivated migrants



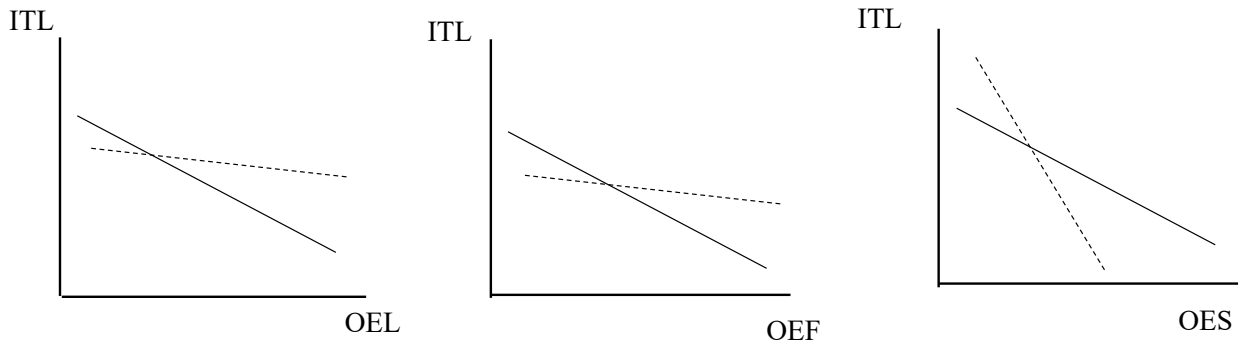
Notes: Migrant (self-advancement): broken line; non-migrant; unbroken line; OEL - On-the-job linkage embeddedness; OEF - On-the-job fit embeddedness; OES - On-the-job sacrifice embeddedness

Figure 3. The hypothesised relationships between intention to leave (ITL) and on-the-job embeddedness components for economic survival motivated migrants and non-migrants



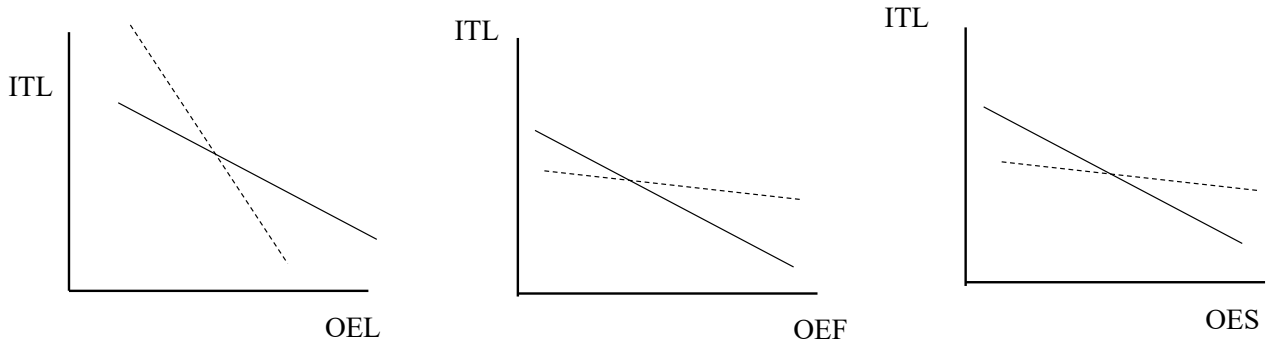
Notes: Migrant: broken line; non-migrant; unbroken line; OEL - On-the-job linkage embeddedness; OEF - On-the-job fit embeddedness; OES - On-the-job sacrifice embeddedness;

Figure 4. The hypothesised relationships between intention to leave (ITL) and on-the-job embeddedness components moral obligation motivated migrants and non-migrants



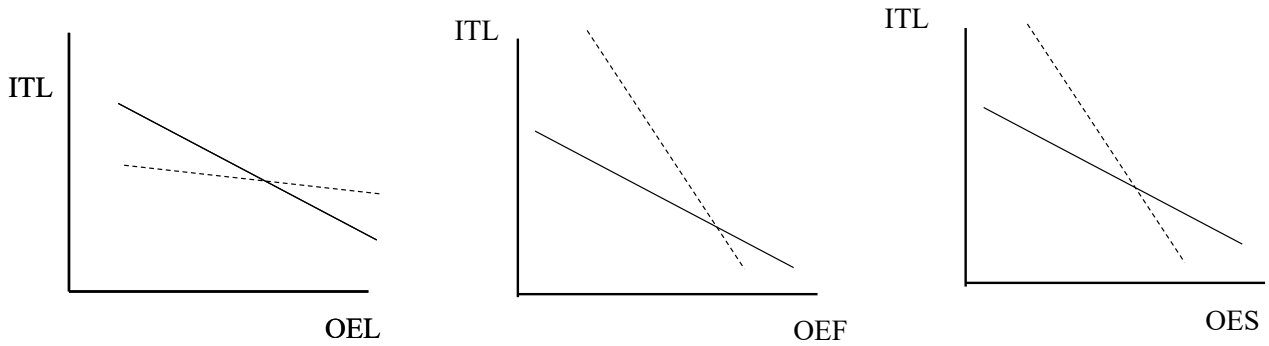
Notes: Migrant: broken line; non-migrant; unbroken line; OEL - On-the-job linkage embeddedness; OEF - On-the-job fit embeddedness; OES - On-the-job sacrifice embeddedness

Figure 5. The hypothesised relationships between intention to leave (ITL) and on-the-job embeddedness components social integration motivated migrants and non-migrants



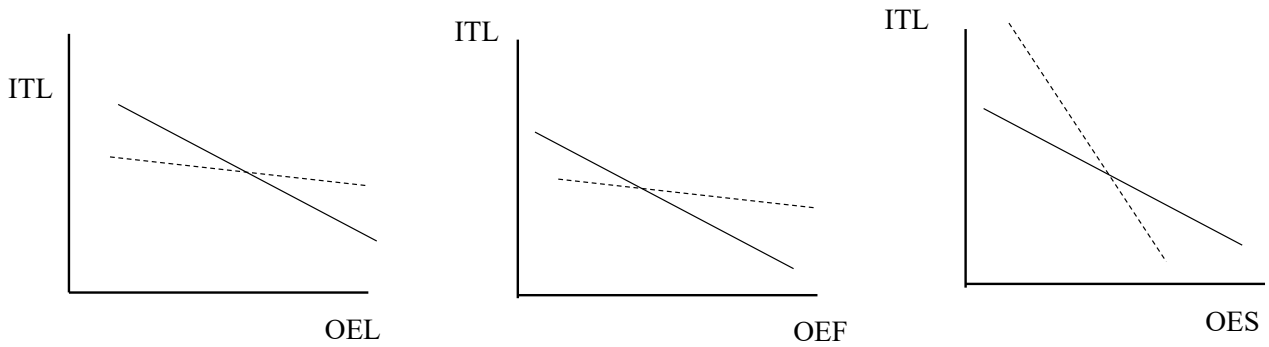
Notes: Migrant: broken line; non-migrant; unbroken line; OEL - On-the-job linkage embeddedness; OEF - On-the-job fit embeddedness; OES - On-the-job sacrifice embeddedness

Figure 6. The hypothesised relationships between intention to leave (ITL) and on-the-job embeddedness components comfortable living standard motivated migrants and non-migrants



Notes: Migrant: broken line; non-migrant; unbroken line; OEL - On-the-job linkage embeddedness; OEF - On-the-job fit embeddedness; OES - On-the-job sacrifice embeddedness

Figure 7. The hypothesised relationships between intention to leave (ITL) and on-the-job embeddedness components permanent residence seeking motivated migrants and non-migrants



Notes: Migrant: broken line; non-migrant; unbroken line; OEL - On-the-job linkage embeddedness; OEF - On-the-job fit embeddedness; OES - On-the-job sacrifice embeddedness;

10. Organisational Behaviour
Interactive Session

The impact of instrumental emotion regulation on employees' expressed entitlement and contextual performance.

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10. Organisational Behaviour
Interactive session

The impact of instrumental emotion regulation on employees' expressed entitlement and contextual performance.

ABSTRACT:

In this paper, we outline a model which explains the relationship between an employee's entitlement beliefs and their contextual performance. Drawing on the Theory of Reasoned Action and the Psychological Contract, we present a model in which employees use emotion with the intention of gaining the benefits to which they feel entitled. We predict that this may then lead to lower contextual performance if these entitlements are not met. Theoretical and practical implications are outlined.

Keywords: employee entitlement, emotional regulation, instrumental motives, performance

EMPLOYEE ENTITLEMENT

Employee entitlement, a term that describes employees with an excessive self-regard who expect rewards without considering their relative performance and contribution to the organisation, has recently seen a surge of interest both among academics (see Jordan, Ramsay, & Westerlaken, 2017; O'Leary-Kelly, Rosen, & Hochwarter, 2017) and in the media (Forbes, 2017). Research shows that entitled employees can have a detrimental impact on organisational, human and financial outcomes (Westerlaken, Jordan, & Ramsay, 2017). Workplace entitlement research is still in an early stage of exploration despite the broader construct being around for some time (as a sub-factor to narcissism: Raskin & Terry, 1988) and as a standalone psychological trait (Campbell, Bonacci, Shelton, Exline & Bushman, 2004). The general interest in workplace entitlement has increased in the management sciences after several scholars identified the importance of considering contextual factors impacting entitlement perceptions (see Hochwarter, Meurs, Perrewé, Todd & Matherly, 2007; Jordan et al., 2017; O'Leary-Kelly et al., 2017; Tomlinson, 2013). While entitlement beliefs have attracted considerable attention, an area that has not been explored in detail is the process through which entitlement beliefs impact contextual performance.

If levels of entitlement are increasing in workplaces (Laird, Harvey, & Lancaster, 2015) then understanding the impact of met and unmet entitlement expectations may have a significant impact on individual and organisational outcomes. To address this issue, we developed a model examining the role of emotion regulation motives on the relationship between employee entitlement beliefs and their subsequent level of performance in that workplace environment.

ENTITLEMENT AT WORK

Until recently, employee entitlement has been researched as a general trait (Brummel & Parker, 2015; Byrne, Miller, & Pitts, 2010; Harvey & Dasborough, 2015; Maynard, Brondolo, Connelly, & Sauer, 2015). Several researchers, however, argue that this does not adequately capture this phenomenon as many situational factors potentially enhance or diminish an employee's sense of entitlement (O'Leary-Kelly et al., 2017; Tomlinson, 2013; Westerlaken et al., 2017). Acknowledging this argument and in line with Jordan et al. (2017), we see entitlement beliefs as a situation activated

trait in which the activation emerges from a combination of the individual's deservingness perceptions and the context in which they work (Langerud & Jordan, 2018).

We note, however, that beliefs, while influencing subsequent behaviour, do not have the same impact as actions taken to pursue those beliefs. On this basis, in this paper, we draw researchers' attention to a new concept which is outlined in our model, expressed entitlement. We define expressed entitlement as a conscious expression (through actions or voice) intended to gain privileged treatment, rewards and remuneration at work. We now move to formally outline our model and explain the theoretical underpinnings of the model.

THEORETICAL MODEL AND PROPOSITION DEVELOPMENT

Our proposed theoretical model is outlined in Figure 1. We have chosen the Theory of Reasoned Action (TRA; Ajzen & Fishbein, 1980; Fishbein & Ajzen, 1975) and the Psychological Contract (Rousseau, 1989) as an underpinning framework to explain the relationship between employee entitlement beliefs and eventual contextual performance behaviours. The TRA provides a basis for understanding the link between entitlement beliefs and expressed entitlement while the Psychological Contract provides justification for employee's reactions in response to met or unmet employee expectations.

In Figure 1, employee entitlement beliefs are influenced by two factors, a trait level factor of deservingness and the organisational environment (culture or normative expectations that may enhance the perception of entitlement). In our model, the relationship between the employee's entitlement beliefs (a situation activated latent trait) and their actual behaviour (expressed entitlement) is moderated by their emotion regulation motives. Our model is premised on the fact that employees can develop instrumental motives that drive their intention to express their entitlement claims. Tamir (2016) argues that emotion regulation motives enable individuals to pursue an objective or goal by generating a specific emotional state. For example, research on instrumental emotion regulation motives has found that individuals can enhance their levels of expressed anger before entering confrontational situations, with the intention of improving their outcomes in this situation (Tamir, Mitchel, & Gross, 2008). On this basis, we find it reasonable to assume that emotion regulation

motives have a significant impact on the relationship between how entitled employees feel that they need to express their entitlement in the workplace. Finally, we note that after having expressed their entitlement beliefs, the extent to which their claims are met or unmet will moderate their eventual contextual performance (Borman & Motowildo, 1993). Contextual performance encompasses activities that promote social cohesiveness in order to enhance the psychological climate of the organisation (Motowildo, Borman, & Schmit, 1997). Examples of activities are helping and cooperating with others, publicly support colleagues and contributing with the extra effort of enthusiasm in the finalising part of projects or tasks (Borman & Motowidlo, 1993).

Insert Figure 1 here

Our model can be best understood using a practical example. For instance, an employee might have a heightened sense of entitlement at work perceiving their worth and quality of input to the organisation to excel that of their peers. Indeed, the organisation may enhance their views by promoting themselves as only employing the best workers or engaging in poor performance management practices that do not objectively examine employee performance.

As a consequence of this perception, the employee may confront their supervisors requesting a larger bonus than their peers or by requesting specialised work that is aligned with the capabilities and self-perceived value to the organisation. If this expressed entitlement is met (they get the bonus or are given the interesting job) then (in line with Psychological Contract), they may engage in more contextual performance. If this expressed entitlement is not met, they may decide to withdraw any extra effort in terms of completing their tasks. We now move to develop our propositions in more detail.

Employee entitlement Beliefs

Deservingness as a trait. Employees performance often does not reflect their perceptions of their ability or worth to the organisation (Dunning, 2011; Kruger & Dunning, 1999). Indeed, research

shows us that entitled employees find themselves deserving of a higher salary than their peers (Campbell et al., 2004), as well as, regular raises, promotions and positive appraisal (Fisk, 2010). Snyders (2002) used the term "deservingness" to describe an attitude where highly entitled individuals believe that they are owed things in life without the adequate contribution to deserve it. Trait deservingness in our theoretical model is based on deservingness theory (Feather, 1999, 2006, 2015). Deservingness is described as a trait belief that good outcomes (e.g. praise, bonuses) are the result of positive actions by the individual (e.g. conducting a significant effort on a task).

On this basis, we argue that:

Proposition 1: Higher individual levels of the trait of deservingness are associated with higher latent entitlement beliefs.

Organisational Practices. We argue that employee entitlement also may be enhanced by organisational practices. For instance, workplaces, where there are not a strong performance management practices based on objective criteria (e.g. Fisk, 2010; Harvey & Martinko, 2009), may contribute to employee entitlement. Researchers have identified clear and objective communication strategies as an important area to focus on when dealing with entitled employees (Harvey & Dasborough, 2015; Jordan et al., 2017). Unfortunately, higher levels of managerial feedback delivered in small portions over time have the adverse effect of making entitled employees frustrated (Harvey & Harris, 2010). Although, researchers recommend holding entitled employees accountable for their performance (Laird et al., 2015), Brummel and Parker (2015) note that this can lead to entitled employees taking credit for successful outcomes and rejecting personal responsibility of failures (Harvey & Dasborough, 2015). Major (1994) found that when individuals receive positive feedback that they are more prone to ask for better compensation than those who receive negative feedback. There several findings (Feather, 1999; Major, 1984; Lessard, Greenberger, Chen & Farruggia, 2011) suggesting that when the feedback from supervisors lack benchmark criteria, then entitled employees

experienced a heightened sense of deservingness as they would associate their accomplishments before the actual task in the calculation of their expected compensation.

Other environmental practices that contribute to entitlement include factors such as the promotion internally of attractive remuneration and benefits, arbitrary employee development programs and personal development opportunities, and the clear display of status in the workplace and subjective career mobility (Gresse, Linde, & Schalk, 2013). On this basis, we propose that:

Proposition 2: Organisational practices (e.g., poor performance management practices) may enhance latent entitlement beliefs among employees.

Emotion regulation motives and expressed entitlement

As noted previously, emotion regulation motives enable individuals to pursue an objective or goal by generating a specific emotional state (Tamir, 2016). Tamir (2016) notes that an individual can have instrumental motives designed to achieve specific goals or hedonistic motives to achieve a more positive state. In terms of entitlement, emotion regulation motives provide a way in which entitled employees can use emotion to increase the likelihood of achieving their perceived entitlement. For example, the use of anger has been shown in previous research to be effective in negotiation situations, where even the mentioning of the emotion of anger heightens the success rate of attaining the perceived deserved outcome (Adam & Brett, 2018; Van Kleef, De Dreu, & Manstead, 2004). In employment situations where entitled employees regularly interact with their supervisor, they are likely to be using emotions (e.g., their enthusiasm for a project) in an instrumental way to support the legitimacy in their claims.

Moreover, as entitled employees often conflict with their supervisors (reference), then the display of anger may be an instrumental way of expressing their entitlement. As such, we find it reasonable to assume that entitled employees make use of emotions (e.g., anger and or enthusiasm) as an emotion regulation motive to increase the likelihood of their entitlement being met. The easiest way to ensure this is to express their entitlement.

In negotiations, Neville and Fisk (2018) found that entitled individuals express their aspirations and seek results at the cost of others to achieve a sense of achievement. In negotiations then we find that entitled employees will express this behaviour in line with the argument of Swift & Moore (2012, p.266) that "the more you think you deserve … the more you demand, and the more you get".

Proposition 3: Emotion regulation motives moderate the relationship between entitlement beliefs and expressed entitlement such that those with high instrumental or hedonistic motives are more likely to express their entitlement.

The outcomes of met or unmet expressed entitlement

The second half of our model is underpinned by the concept of the psychological contract. The psychological contract (Rousseau, 1989) establishes expectations for what the employee expects to receive from the employer, based on employee beliefs and views in regards to mutual obligations, and are directly consequential to the attitudes and behaviours enacted by the employee in relation to his or her organisation (Gresse et al., 2013; Robinson & Rousseau, 1994; Rousseau, 1989, 1990). We argue that employee entitlement levels, in part, contribute to the expectations that the employee has in an employment contract (Naumann, Minsky, & Sturman, 2002). Indeed, if employee expectations are fundamental to the anticipated outcomes of the psychological contract (Freese & Schalk, 2008; Van den Heuvel & Schalk, 2009; Paul, Niehoff, & Turnley, 2000) then understanding the impact of employee entitlement is essential. While the psychological contract is premised on an employees beliefs (Rousseau, 1998), we argue in our model that the expression of these beliefs will strengthen the employee's expectation that their entitlement expectations should be met.

If the employer fails to accommodate the employee's expectations on obligations, then this constitutes a breach of the psychological contract (Morrison & Robinson, 1997; Gresse et al., 2013). When employees express their entitlement, they are claiming rights that they perceive to be a part of the psychological contract, as such, with the violation of having the expressed entitlement unmet is

similar to that of a breach of the psychological contract to the entitled employee (Linde, 2007; Morrison & Robinson, 1997). A breach of the psychological contract is defined as the perception an employee experiences when the organisation fails to uphold one or more aspects of the psychological contract (Hellgren, 2003; Linde, 2007).

From the research evidence we have cited, it is evident that a difference between the employee expectations (expressed entitlement) and the benefits the employee actually receive will constitute a breach of the psychological contract. Even if an individual has a certain expectation regarding the workplace and settles for less, the individual will still perceive that expectation is not met by the employer (Gresse et al., 2013). This clearly constitutes a breach of the psychological contract (Hellgren, 2003). In terms of the outcomes from this breach, Harvey and Martinko (2009) note a relationship between psychological entitlement and turnover intent. Gresse et al. (2013) argue that employees who are entitled would experience that the psychological contract being breached when employers do not agree to their expressed entitlement claims.

As such, we argue that entitled employees can either find their expressed entitlement either met or unmet by the organisation. If met, the entitled employee will be content with the outcome and finds the equilibrium restored for the time being until the next time they find another avenue for expressing their entitlement. If unmet, the entitled employee finds the psychological contract violated, and effectively reducing their motivation to contribute to the workplace through contextual performance practices.

In terms of how entitlement affects contextual performance, there is evidence for a negative relationship between entitlement and Organisational Citizenship Behaviours (Hochwarter, Meurs, Perrewé, Todd & Matherly, 2007). Entitlement has also been found to be related to Counterproductive Workplace Behaviours (CWB; Grijalva & Newman, 2014; Lee, Schwarz, Newman & Legood, 2017), but found to be related to fewer self-reported CWBs (Brummel & Parker, 2015) implying that entitled individuals may not be aware of how their behaviour affects their environment. Having their expressed entitlement met has the potential to be an important factor in how entitled employees find themselves motivated to enhance their contextual performance.

We, therefore, argue that:

Proposition 4: The relationship between expressed entitlement will be moderated by the extent to which that entitlement is met or unmet by the organisation. Those with unmet entitlement will have lower contextual performance.

Implications for theory

To date, researchers are yet to address the behavioural enactment of entitlement and the implications of this for organisations. The model presented in this paper provides an explanation of this phenomenon and the processes that are in play between entitlement beliefs, the expression of entitlement by the employee and their commitment to the organisation. Benefits of this research will be the development of a new construct that captures expressed entitlement. The construct of expressed entitlement may capture a variable that will have direct effects on employee outcomes.

Although a few publications examine how emotions interact with workplace entitlement, such as the feeling of frustration (Harvey & Harris, 2010) and exhaustion (Wheeler, Halbesleben, & Whitman, 2013), overall the field is ripe for further research on the relationship between entitlement and emotions. Our theoretical framework has brought together two distinct theoretical frameworks, the Theory of Reasoned Action and the Psychological contract theory to understand these relationships better. The field will arguably benefit from more specific research on how emotions impact the minds and actions of those who are having excessive entitlement levels since this can lead us to evaluate more specifically what actions can ameliorate the beliefs and expressions of entitlement. The emotion regulation literature has yet to touch on entitlement and to understand the processes of how emotion regulation motives relate to the enactment of entitlement holds potential for understanding an aspect of the latent potential in emotion regulation motives.

Implications for practice

Furthermore, the literature on entitlement has recently been arguing for a new perspective on entitlement in a state or trait-activation framework (Jordan et al., 2017; O'Leary-Kelly et al., 2017;

Westerlaken et al., 2017) and the model developed in this paper further contributes to our understanding of the contextual factors and specific emotions that enable the enactment of entitlement. Therefore, there are practical implications of this research for managers with not only in their understanding of how entitled perceptions emerge, but also how specific emotional states will be consciously modified by entitled employees in an attempt to gain desired rewards and benefits by expressing their entitlement.

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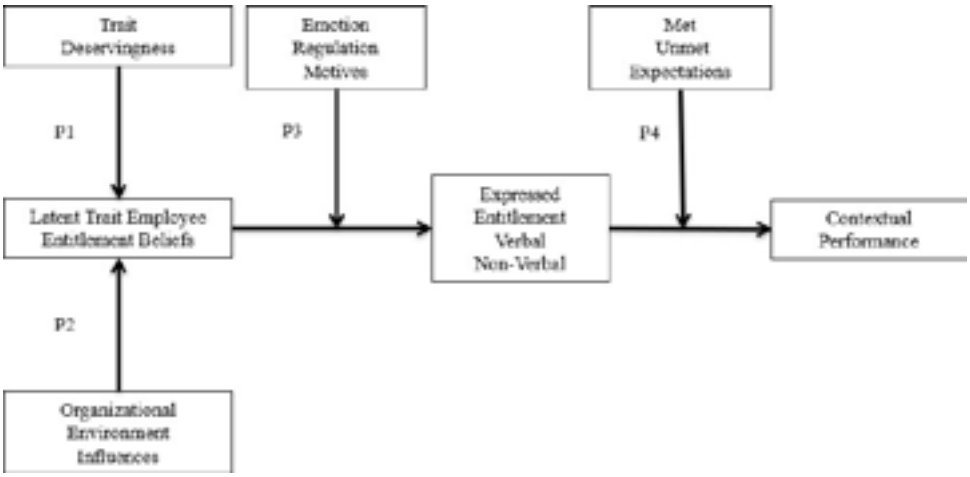
Figure 1 - A model linking entitlement beliefs to contextual performance



14. Technology, Innovation and Supply Chain Management

Interactive Session

IT capability as an Enabler of supply chain Integration and Coordination

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Abstract

This study develops a research model to examine how IT capability influences supply chain integration which then has a positive impact on supply chain coordination. Data were collected from a survey administered to 231 Australian small-to-medium enterprises (SME). The structural equation modelling approach is used to test hypotheses. Findings suggest that supply chain integration is positively affectively by IT capability and can directly impact on supply chain coordination. This study contributes knowledge on understanding how IT helps SMEs to achieve business value in the supply chain context.

Keywords: *IT Capability, Supply Chain Integrations, Supply Chain Coordination, IT Infrastructure, Back-end Integration, Front-end Functionality.*

Introduction

With the monumental expansion in functionalities of commercially available complex software configuration management technology, IT resources have been increasingly referred to as commodity (Zhu & Kraemer 2005). As with most ubiquitous technologies, their adoption is easily duplicated by other firms and often fails to provide a sustained competitive advantage for the adopting firms (Powell and Dent-Micallef 1997). IT adoption is no exception. IT investment may increase operational effectiveness but could no longer guarantee competitive advantage. Not surprisingly, the business value of IT has been challenged (Carr 2003). The ''IT-productivity'' paradox and other anecdotal evidences suggest that the impact of IT on firm performance remains equivocal (Dong, Xu, & Zhu 2009; Lu & Ramamurthy 2011; Zhu & Kraemer 2005).

We explore how IT capability can help firm to create supply chain coordination competence through the development of supply chain integration processes. Following Kohli and Grover (2008), Melville et al. (2004), and Rai et al. (2006), we argue that IT business value can be enhanced when firms embed IT into organizational processes. Building IT capability to support supply chain integration processes, enables organizations to develop firm-specific supply chain activities that are valuable (to their clients), immobile (not lost even a key personnel may leave the firm), and difficult for competitors to imitate, leading to the creation of core competencies and competitive advantage (Javidan 1998). For instance, Rai et al. (2006) have found that integrative information technologies, which enhance information flows along supply chains, contribute to superior customer service performance through supplier partnering and customer relationship building. Likewise Wu et al. (2006) also found that higher order supply chain process capabilities could be developed to generate rents for all partners when information flow is integrated across the chain.

We contend that when a firm's IT resources are strategically harnessed to form IT capability, such as IT infrastructure, back-end integration, and front-end functionality, these IT capabilities have the enabling effect to transform a supply chain integration process, into a hard-to-imitate supply chain

competence, such as coordination. We explore the indirect role of IT capability in value creation which aims to use intermediate-level dependent variables at the operational level to examine how IT investments could lead to competitive advantage (Melville et al. 2004; Wade & Hulland 2004). This study contributes to the IT paradox debate by exploring the process-enabling effects of IT. In this context, we examine the effects of IT capability in terms of IT Infrastructure, back-end integration, front-end functionality on building of supply chain integration and supply chain coordination competency.

Literature Review and Hypothesis Development

In hypercompetitive market, firms collaborating with supply chain channel partners in order to speedily respond to market changes can achieve competitive advantage (Christopher and Towill 2001). Information system (IS) research has been extensively conducted to examine how IT helps firm to achieve business value (Weill et al. 2002; Sambamurthy et al. 2003; Overby et al. 2006; van Oosterhout et al. 2006; Fink and Neumann 2007; Zhang and Sharifi 2007; Goodhue et al. 2009; Lu and Ramamurthy 2011). However, most studies typically explored the IT business value in large organizations with limited attention paid to SMEs. As advancement in IT continues to offer SMEs to conduct businesses with their suppliers/customers, it is important to understand how IT provides SMEs with new avenues to manage their supply chain operations (Lee 2002) as supply chain management has been labelled as "a digitally enabled inter-firm process capability" (Rai et al. p. 226). This study explores the effects of three types of IT capability, namely, IT infrastructure, back-end integration, and front-end functionality, on developing supply chain integration activities which lead to supply chain coordination competence. Coordination is central to supply chain operations (Sanders 2008). Integration, in turn, is the backbone of supply chain coordination (Barratt 2004). A firm's ability to integrate its supply chain operations better than its competitors' hinges heavily on how it coordinates and collaborates with chain members - information exchange, resource sharing, and process integration (Lee 2000). Supply chain coordination is a key to attaining superior performance

through meeting customer needs (Kim, Cavusgil, & Calantone 2006; Sanders 2008; Vickery et al. 2003). In this study, supply chain integration is defined as an exceptional ability to leverage IT capability to undertake supply chain integration activities to gaining operational efficiencies and fulfilling customer expectations. Supply chain coordination is firm-specific and inimitable (Wu et al. 2006), creating highly differentiated value for firms and their supply chain partners.

A number of studies (Vickery et al. 2003; Wu et al. 2006; Sanders 2008) have examined the relationship between IT and supply chain operations to understand the value creation of IT in supply chain context. Vickery et al. (2003), for instance, found that the integrative impact of IT on customer service was entirely mediated through supply chain integration. Additionally, supply chain integration was found to have no direct effect on financial performance, only an indirect effect mediated through customer service. Wu et al. (2006) found that the effects of a firm's IT capability, in the form of internal and external IT alignment and IT advancement, on its marketing and financial performance were fully mediated by four supply chain capabilities: information exchange, coordination, activity integration and responsiveness. Sanders (2008) assessed how two IT use patterns (exploration and exploitation) by suppliers impact two types of buyer coordination activities (operational and strategic), which, in turn, lead to specific benefits. Sanders (2008) found that using IT for exploitation only enhanced operational coordination, while that for exploration was only effective in improving strategic coordination. The findings demonstrate that suppliers wanting to reap benefits from both operational and strategic coordination would have to invoke the two IT use patterns. Kim et al. (2006) viewed integration with channel members as a two-dimensional process: inter-firm systems integration and inter-firm activity integration. Arguing that inter-firm systems integration is an IS resource that represents technological connectivity between channel members, Kim et al. (2006) studied the mediating role of inter-firm systems integration, rather than activity integration, in transmitting the effects of supply chain communication systems innovations on a firm's channel capabilities, including inter-firm information exchange and coordination. They confirmed that inter-firm systems integration is "a necessary accompaniment to derive an adequate return from applied technological innovation"

(Kim et al. 2006, p. 50). Supply chain integration demonstrates a firm's capability to strategically collaborate demand and supply side processes with its suppliers and customers (Liu et al. 2015). Supply chain integration requires methods, procedures and processes beyond the ability to interact with suppliers and customers online, which is crucial to achieve improved supply chain operational performance (Devaraj et al. 2007).

While firms can build their sustainable competitive advantage by strategically leveraging on valuable, rare, hard-to-imitate, and hard-to-substitute resources, the key to superior performance depends on how these resources are utilized (Peteraf 1993; Javidan 1998). Following this view, we contend that, in the context of supply chain management, building supply chain integration capability requires that firms employ their IT capability to support their routine supply chain integration activities. The repeated adaptation of IT capability to support on-going supply chain integration activities would, overtime, lead to the development of a socially complex, and causally ambiguous, set of hard-to-imitate IT-enabled supply chain coordination competence embedded within organizational processes. These processes would include integration of internal cross-functional IT applications and databases as well as external IT linkages with supply chain partners. We posit that developing IT capability in the form of solid IT infrastructure, superior back-end integration and front-end functionality to support supply chain integration activities would lay the foundation for building supply chain cordination competencies. Figure 1 depicts our conceptual model.

Insert Figure 1 about here

IT infrastructure is a firm's ability to deploy computer and communication technologies, shareable technical platforms in order to share information, to exploit business opportunities, and to be agile in responding to changes in the environment and business strategy (Rai & Tang, 2010). Bharadwaj (2000) contended that IT infrastructure provides not only a solid platform upon which firms could leverage IT to conduct business activities but also an agile and flexible technology structure (e.g., integrated database) to respond to customer demands and market changes for business development.

Zhu and Kraemer (2005) argued that e-business is unlikely to become an integral part of the value chain if firms lack appropriate IT infrastructure to readily and efficiently distribute necessary information for e-business operations. In fact, both Lin and Lin (2008) and Zhu and Kraemer (2005) have found that the effect of IT infrastructure on firm performance increases with the level of sophistication of the former. Firms with integrated IT infrastructure capability can avoid limitation of supply chain fragmentation which could constrain information flows and activity coordination, thereby achieving supply and demand process integration. Accordingly, we hypothesize that:

H1: IT infrastructure is related positively to supply chain integration.

The value of IT capability lies in providing visibility, traceability, and real-time information sharing between firms and their suppliers and customers (Sanders, 2008). The prowess of this contribution hinges primarily on two IT development outcomes: how well different databases are integrated to enable cross-functional and multi-layer querying (back-end integration); and how well the cross-functional and multi-layer linkages are transformed into a user-friendly, easy-to-use, customer-centric operations system (front-end functionality) (Zhu, 2004). According to Zhu and Kraemer (2005, p.67), back-end integration refers to a firm's ability to link Web applications with back-office databases and facilitates information sharing along the value chain, and front-end functionality refers to a firm's ability to "provide product information to consumers on the Internet, facilitate transaction processing, and enable customization and personalization". Back-end integration and front-end functionality can be regarded as a firm's IT capability (Zhu and Kraemer, 2005). Creating synergistic effects through front-end functionality capability and back-end integration is a tangible path to developing supply chain integration (Zhu, 2004; Zhu and Kraemer, 2005). A technically sound back-end integration can increase transactional efficiencies, lower operation costs, and create business value for the focal firm as well as improve supply chain integration processes and efficiency (Zhu and Kraemer 2005). Dong et al. (2009) also contended that back-end integration drives collaborative connections among supply chain partners, enhances information processing, integration and coordination to facilitate cross-functional and multi-layer querying, superior back-end integration and front-end functionality are expected to enhance the

flow of information among supply chain partners (Vickery et al. 2003), adding value to such activities as information processing, exchange and integration (Wu et al. 2006), collaborative planning, forecasting, and replenishment (Kim et al. 2006), and transactions among supply chain partners (Dong et al. 2009). Therefore, we posit that:

H2: Back-end integration is related positively to supply chain integration.

H3: Front-end functionality is related positively to supply chain integration.

In the context of supply chain operations, supply chain coordination demonstrates a firm's ability to coordinate and collaborate effectively with channel partners (Sanders 2008; Cao and Zhang 2011). Typically, supply chain coordination that can be advantageously enhanced by supply chain integration would include joint production planning and sales forecasting as well as process integration with suppliers, distributors, and customers (Johnson et al. 2007), joint resource planning and work scheduling (Kim et al. 2006). The routinization of these activities facilitated by a robust set of IT infrastructure and integrated, seamless back-end and front-end functionality is a necessary precursor to building supply chain agility. Likewise, a set of IT-enabled supply chain collaboration activities also brings many other benefits to the supply chain, including lower inventory, faster respond times, and greater speed-to-market (Lee 2004). In addition, supply chain collaboration simplifies organizational work flow and reduces lead times with suppliers (Barratt 2004). This leads us to our next two hypotheses:

H4: Supply chain integration is related positively to supply chain coordination.

Method

The samples in this study were 1,119 Australian SMEs. The respondents. The founders or CEOs of SMEs are the specific respondents as they can provide reliable overviews on IT development in the companies. We focus on SMEs because they are a dominant part of the Australian economy (OECD 2015).Of 1,119 online survey issued, a total of 231 responses were obtained (20.6% response rate). Measurement items were developed based on the literature. All constructs were assessed with seven-

point Likert scale ranging from Strongly Disagree (1) and Strongly Agree (7). IT infrastructure was measured via a three-item scale adapted from Lin and Lin (2008). Back-end integration was measured via the three-item scale adapted from Zhu and Kraemer (2005). Front-end functionality was measured via a four-item scale adapted from Zhu and Kraemer (2005). Supply chain integration was measured via a three-item scale adapted from Wu et al. (2003) and Kim et al. (2006). Supply chain coordination was measured via a three-item scale adapted from Cao and Zhang (2011). Control variables include firm age, firm size, and industry type. In this study, founders or CEOs of SMEs are the specific respondents because they can provide reliable overview on their companies' IT development.

Results

Our data analysis shows a good model fit in AMOS 25: $\chi^2(97)=188.606$, $\chi^2/df=1.944$, CFI=.952, TLI=.953, SRMR=.059, RMSEA=.055. The structural model demonstrates support for all hypotheses. Specifically, both IT infrastructure ($b=0.18$, $p<0.01$) and back-end integration ($b=0.43$, $p<0.001$) have positive and significant effects on supply chain integration, which supported H1 and H2. Front-end functionality is positively related to supply chain integration ($b=0.25$, $p<0.005$), which supported H3. Supply chain integration has a positive impact on supply chain coordination ($b=0.49$, $p<0.001$), which supported H4. The squared multiple correlation (SMC) values show that this model accounts for 52% of the variance in supply chain integration and 24% of the variance in supply chain coordination. None of the control variables have any significant effect on market responsive agility in our model, despite their expected influence.

Discussion

This study examines the process-enabling role of IT capability within the context of supply chain operations and explores the building paths of supply chain integration and coordination competence using Javidan's (1998) capability-competency-core competency framework. Our results demonstrate that good quality of IT capability contributes positively to both supply chain integration and coordination. These results confirm the process-enabling role IT capability in augmenting the

capability-competence building process in supply chain operations. Following Zhu et al. (2004), this research posits that IT capability comprises three key components: IT infrastructure, back-end integration, and front-end functionality. Findings of this study suggest that the outcome of the synergistic interactions of these three components is with functionalities that permit multi-party queries to provide visibility, traceability, and real-time information to all supply chain members. IT infrastructure equips supply chain members to be in a state of constant information-readiness. Back-end integration and front-end functionality empower supply chain members to collaboratively respond to customer needs in a timely and coordinated manner, thus supporting supply chain integration activities. The end result is a tangible display of supply chain coordination competency among all supply chain partners. In information-intensive supply chain operations, this study highlights the process-enabling role as the value contributions of a firm's IT capability.

These findings have a number of implications in research as well as business practice. In a theoretical sense, this study has empirically demonstrated the causal paths underpinning the transformation of IT capability into IT-enabled supply chain processes. Rather than treating IT capability as a second-order multidimensional construct, we have explicitly explored the effects of three IT capability dimensions on supply chain integration. SME managers should not only develop a solid IT infrastructure to build reliable information systems but also integrate IT applications within and across supply chain partners/customers to transform firms to IT-enabled companies. This research contributes to supply chain management literature by incorporating information systems with operations management. The results provide new insights into the business value of IT capability in the supply chain context. SME managers should understand where the real business value of IT investment can be created in supply chain management area. Managers need apply IT capability to IT-enabled supply chain integration and coordination competence so that SMEs can achieve the benefits of IT capability.

This study acknowledge limitations associated with the use of the self-report performance measure. Although this research carefully constructs measures to account for this issue, future research may seek objective performance indicators to test the robustness of findings. This study also acknowledge limitations associated with common method bias inherent in cross-sectional designs. Future work could focus on longitudinal data to provide further insight into the processes of IT capability and supply chain interation and coordination required by SMEs.

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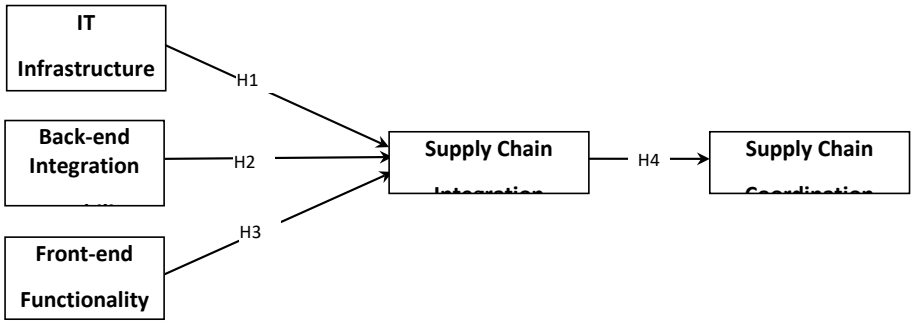
Figure 1. Research Model



13. Gender, Diversity and Indigeneity
Delivered Session

Selection, implementation and influence of gender-based HR initiatives on women's representation in Australian project-based organisations

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3. Gender, Diversity and Indigeneity
Delivered Session

Selection, implementation and influence of gender-based HR initiatives on women's representation in Australian project-based organisations

ABSTRACT

Organisations take different approaches in promoting workplace equality. Most develop policies and programs driven by legal requirements and/or a business case for equality and diversity. These approaches affect how organisations select and implement gender-based HR initiatives and ultimately their effectiveness in addressing representation. Project-based organisations in traditionally male-dominated industries in Australia are some of the least equitable with fewer women in management and fewer on boards. This study builds on previous research by interviewing 13 HR and Senior Managers of project-based organisations to identify their perspectives that underpin policies and programs of influence in gender representation. We consider the insights of institutional theory to explain how the process of organisational isomorphism may affect the decisions behind the selection and implementation of workplace diversity initiatives in the Australian property sector. Our findings suggest the ongoing underrepresentation of women can be attributed to a lack of consistency in implementation; a traditional culture of favouritism; and, a lack of monitoring of equity outcomes in representation.

Keywords: gender equality, HR policies, institutional theory, organisational isomorphism

BACKGROUND

In Australia, a variety of equal employment opportunity (EEO) and anti-discrimination legislation promotes increasing women's representation to achieve a diverse and inclusive workforce. This delivers tangible business benefits, such as increased efficiency, productivity, innovation and improved employee engagement (WGEA, 2016).

Women's representation in the Australian project-based property sector, including property development, construction and engineering organisations, is still limited. This sector has a significant importance to the country's economy and employment (The Australian Trade

Commission, 2015; WGEA, 2014, 2015). It is also a growing area requiring a skilled workforce. The representation of women in the sector is consistently low, with specifically low numbers of women in leadership and management roles (WGEA, 2014, 2015).

Baker, Ali and French (2018) identified that gender-based HR initiatives have no impact on women's representation in project-based organisations. This echoed previous research findings by French and Strachan (2007, 2009). The current study examines why, and specifically aims to explore how organisations select and implement gender-based HR initiatives and how those influence the workplace equality in the project-based property industry. Burgess, French and Strachan (2009, p.89) suggest that little is known about the factors influencing the management choices in determining their equality approach. The equality and diversity paradigms are believed to guide organisations in the selection and adoption of equality policies, also affecting their impact (Podsiadlowski, Gröschkeb, Koglera, Springera & van der Zeec, 2013; Verbeek & Groeneveld, 2012). However, equality initiatives may be lacking in support from implementation processes and practices (Verbeek & Groeneveld, 2012) leading to lack of effectiveness (Creegan, Colgan & Robinson, 2003). This presents a gap in understanding of organisational equality policy design and implementation (Kirton, Robertson & Avdelidou-Fischer, 2016; Verbeek, 2011). To address this gap, this study aims to answer the key research question of: How and why the Senior Managers of project-based organisations in the property industry in Australia design and implement workplace equality policies and programs, and how those influence the workplace equality in those organisations?

Australian Equal Employment Opportunity (EEO) legislation

The Workplace Gender Equality Act 2012 aims to remove barriers to women's workplace participation, eliminating gender-based discrimination and fostering consultation in relation to gender equality issues to improve productivity and competitiveness of Australian business (Chang, 2014). The Act requires all private sector organisations with 100 or more employees to report annually against a set of standardised gender equality indicators (GEIs) concerning gender equality in

the workplace. The employers must have a policy or strategy in place that specifically supports gender-based equality in relation to one, or more of the GEIs (WGEA, 2016). The organisations can choose the policies and practices and the extent to which they will implement them.

Equality vs managing diversity

Addressing the business case premise, gender equality policies and programs within Australian organisations are increasingly being developed under the umbrella of managing diversity (Burgess, French, & Strachan, 2009). Diversity is defined broadly as including gender, age, ethnicity and cultural background, but with a focus on gender diversity (ASX, 2014). Managing diversity "seeks to recognise, value and utilise differences between individuals rather than dilute or deny that the differences exist" (Burgess et al., 2009, p2). This approach is based on the utilitarian concepts of mutual benefit (Shaw, 1995) and productive advantage (Cope & Kalantzis, 1996) rather than social justice. However, it is also argued that without recognition the social structure itself is unequal and unjust, the possibility of achieving equality is questionable (Poiner & Wills, 1991). Researchers thus challenge the notion that the business case for diversity can be an efficient means of driving or achieving equal opportunity (Burgess et al., 2009).

Diversity perspectives guiding policy decisions

Research suggests that different organisational perspectives or paradigms on diversity motivates and effects the selection and implementation of equality and diversity policies differently (Podsiadlowski et al., 2013; Verbeek & Groeneveld, 2012). The 'diversity paradigm' relates to organisation's normative values, and beliefs about diversity and diversity management (Dass & Parker, 1999; Kulik, 2014; Podsiadlowski et al., 2013). Thomas and Ely (1996) identified three distinct diversity paradigms underlining organisations' approaches to diversity management: the discrimination and fairness; access and legitimacy; and learning and effectiveness. The discrimination and fairness or "moral" perspective suggests that organisations make decisions to

adopt equality policies out of a commitment to fighting discrimination and doing the right thing. The pressure from the legislation and industry groups is perceived to lead to the "legal" rationale and motivation identified as the access and legitimacy perspective. The "business case for diversity" refers to a motivation for diversity management based on a belief that equality and diversity is good for business, representing the learning and effectiveness perspective (Verbeek & Groeneveld, 2012). It is the organisation's diversity paradigm that drives its diversity policies and leads their choice of diversity HR programs (Kulik, 2014), ultimately affecting their effectiveness (Podsiadlowski et al., 2013; Verbeek & Groeneveld, 2012).

Theoretical underpinning

Institutional theory provides a means to explain the complexities of organisational practices and behaviours (DiMaggio & Powell, 1983; Milliken & Martins, 1998). An organisation's structure, policies and procedures are determined by its conformity to the norms, values and expectations of the environment on which it depends for resources and legitimacy (Meyer & Rowan, 1977). The institutional perspective suggests that organisations within the same organisational field tend to become isomorphic (homogeneous) in structure, processes and behaviours as they compete for resources; customers; and institutional legitimacy (DiMaggio & Powell, 1983). Isomorphism is defined as a "constraining process that forces one unit in a population to resemble other units that face the same set of environmental conditions" (DiMaggio & Powell, 1983) and can be created by: coercive, mimetic, and normative pressures. Coercive isomorphism results from pressures for the need for legitimacy; mimetic isomorphism arise from pressures due to market uncertainty and organisations modelling themselves on effective units in their marketplace; and normative isomorphism arises from pressures for professionalization of the industry that drives conformity and professional standards (Baker & French, 2018; DiMaggio & Powell, 1983). This study investigates the processes leading to design and implementation of workplace equality policies and programs in

project-based organisations and their influence on women's representation in the Australian property industry.

METHODOLOGY

This is an exploratory study with an interpretive research approach that aims to develop a deep understanding of the equality and diversity decisions of senior managers responsible for the selection and implementation of gender-based HR equality policies and programs in project-based property organisations. This study seeks to explore a known gap in knowledge of the reasoning behind senior staff decisions in equality and diversity design and implementation and a lack of information on why HR equality strategies are not realising equality in representation in project-based organisations in the property industry. Miles and Huberman (1994) and Burrell and Morgan (1979) support an interpretive approach that allows insights into how people construct meaning in the natural settings of work.

Thirteen (13) semi-structured interviews (across 6 project-based organisations) were conducted using purposeful sampling of business leaders including HR managers and senior managers from private and publicly listed project-based organisations from the property industry. The participants were recruited through the Property Council of Australia (PCA). The depth and breadth of respondents enabled adequate exploration of the research questions and analytic saturation to be reached. The semi-structured nature of the interviews also enabled the interviewer to probe salient issues such as the participants' interpretation of gender equality and their awareness and understanding of HR policies and programs in the business. Table 1 provides a summary of the characteristics of participants by gender, position and responsibilities for HR policies implementation.

Insert Table 1 here

The interviews were recorded and their transcripts analysed and coded with the support of qualitative analysis software, NVivo, to identify themes that illuminated the factors affecting the selection and implementation of gender-based HR initiatives and why they are not realising equality in representation. The data was triangulated by examining all responses in light of literature sources to validate them and by leveraging the input of subject matter experts, improving the accuracy of the study (Creswell, 2002). The findings presented in the following section focus on the significant points raised in the narrative of the interviews, building a picture of respondents' perspectives in designing and implementing equality HR policies.

FINDINGS

Diversity paradigms were evident and affected the design and selection of gender-based HR policies and programs. Several factors were identified as affecting the implementation including: lack of consistency in implementation; a traditional culture of favouritism; and, a lack of monitoring of equity outcomes in representation. Both the diversity paradigms in selection of HR equality policies and gaps in implementation lead to poor equality outcomes in representation.

HR policies and programs offered

Project organisations that participated in this study had a moderate number of gender - based HR policies and programs in place with the main focus on recruitment, retention and training and development. Table 2 shows the summary of HR policies and programs offered in the organisations of those interviewed.

Insert Table 1 here

In total, eight different gender-based recruitment initiatives were offered, ranging from 1-2 initiatives per organisation. Under retention initiatives, the main focus was on salary review, offered by 50% of organisations. Within training and development programs, 83% of organisations offered mentoring and/or sponsorship programs with only one organisation offering gender diversity training

for their managers and staff. Further, 50% of organisations set gender-based diversity targets and KPIs for their leaders and only one had those extended to their teams.

HR policies and programs selection

HR managers with support from the executive teams are charged with the development and selection of the workplace equality HR initiatives. Their role was also to communicate the policies to line managers and to support them in implementation of the policies. The motivation for developing the gender-based HR policies varied across the organisations. While increasing women's participation was the main organisational objective across most of organisations (83%), two distinct diversity perspectives were showcased in participants' interview responses influencing the decisions about specific workplace equality initiatives. We found the access and legitimacy paradigm at 100%, and the learning and effectiveness paradigm at 67%, were dominant in our respondents.

Access & legitimacy perspective

Pressure from legislation and industry groups are perceived to lead to a 'legal' rationale and motivation for equality initiatives. This influence was demonstrated through initiatives that were driven by the reporting requirements to WGEA focusing on workplace composition and anti-discrimination initiatives:

> *"So we did use that framework of the WGEA basically for those things. So every year, obviously, you have to report to the agency and each year you're expected to do more essentially" (Female, HR manager, company B)*
>
> *"I mean we do have an EEO policy which really just sets out that we don't...we did certainly determine not to discriminate in terms of any you know factors that are...you're required as a business not to discriminate" (Female, HR manager, company D)*
>
> *It was also evid*ent through participants' concerns over company's reputation within the industry and compliance to industry standards:
>
> *"Now our policy that we've got at the moment was communicated to those associations and shared with those associations so they do know that we have a position which is good. So we get viewed as a business that has diversity on the radar" (Female, senior manager, company D)*
>
> *"So, our policies more than adequately meet industry standards" (Female, HR manager, company E)*

Learning and effectiveness diversity paradigm

Feedback from 67% of respondents indicated that the equality and diversity initiatives were also largely based on a business case rationale. Respondents discussed the imperative for business' growth and innovation to encompass a broad and diverse mix of people from differing backgrounds, gender and cultures, acknowledging the learning and effectiveness diversity paradigm:

> *"It's better to get some diverse views and points of view within our industries, by having that it also creates a different environment within the team" (Male, senior manager, company A)*

> *"I guess it's like everything, it just gives it diversity of view, and everyone looks at things with a different lens. So I think it really just gives a better blending of skills, we all learn from others differently … I think it just creates a more robust and broader view as a business to better be able to engage with clients, with other business, stakeholders" (Male, senior manager, company D)*

Some respondents indicated that workplace equality programs in their organisations reflected the shortage of skilled labour driving an equity and diversity strategy. The participants (23%) spoke about the benefits of talent attraction to the organisation:

> *"Talent is a limited resource particularly for good talent so we always sort of reinvent ourselves about the best way to go and get those good people and bring them into our business" (Male, senior manager, company C)*

> *"There's a lot of benefits I think to having that participation rate. One is its availability of candidates" (Male, senior manager, company A)*

In summary, the findings reinforce the notion that diversity paradigms are evident in the design and/or selection of the equality and diversity policies and initiatives undertaken. Further, there is support for the recognition of institutional isomorphism created through the coercive pressures including the need to address legislation and the need for legitimacy in the market, identified as reasons for designing and selecting specific policies and programs.

Implementation of equality policies and programs

When considering the implementation of equality policies and programs, it was evident that all respondents understood the gender equality policies to be the same as diversity policies. The term 'diversity' was used across all the organisations and represented all aspects of diversity, from gender

to ethnic background and sexual preferences, etc. This indicates a limited understanding and differentiation between equality and diversity, again reinforcing the legal and business case approach:

> *"We've got an overarching diversity and inclusion policy. Um, so obviously that's about ensuring that we're encouraging a diverse and inclusive workforce...And diverse thinking at all levels of the organisation and obviously with the purpose of engaging and improving employee engagement … So we don't have gender diversity policy as such" (Female, HR manager, company A)*

> *"So that was an area although I know our CEO felt strongly about diversity as a whole, not let's just pick one group. So it was more about we want a multi-pronged approach" (Female, HR manager, company B)*

The respondents (50%) had developed strategic diversity targets and objectives captured in the KPIs of senior managers. However, only one respondent indicated diversity targets cascaded down to the line managers and teams:

> *"Um, that we set and it's mainly with the Business Leaders and they will set targets each year as to what to achieve in terms of increasing their female representation" (Female, HR manager, company A)*

Respondents from four organisations (67%) indicated that their recruitment process was guided by merit underscored by the business case approach, with a focus on fulfilling the skills requirements of the organisation and irrespective of gender:

> *"So certainly we do have a recruitment policy and that certainly talks about you know, our aim is basically to get the right skills set for the job and that we really need to focus on getting the right person with the right skills set and the right background and the right capability " (Female, HR manager, company D)*

> *"We're all about talent and the right person for that job description... (Male, senior manager, company C)*

Only two respondents (33%) identified initiatives that aimed to set frameworks for responsibility and accountability for diversity, although these were not specifically for gender diversity or equality initiatives:

> *"We're also establishing a Diversity Inclusion Committee this year... that's just one committee and then that will have different elements to it as well...I mean this is moving away from I guess gender but you know, there will be a women's committee and then there'll be a cultural committee, there will be a parents committee you know, those kind of.." (Female, HR manager, company A)*

> *"We have a Diversity and Inclusions Steering Committee and that is our Executive group … There's Gender Equity, there's Flexibility, there's LGBTI and there's Wellbeing and Cultural*

Inclusion that are together and so for each of those 4 groups there is what we call a stream lead and an EXCO sponsor" (Female, HR manager, company F)

Some recruitment and promotion practices still appear to adopt informal selection and gender-based favouritism described by Bazerman (2006) as a tendency to favour the members of groups one belongs to, pointing to the presence of normative isomorphism:

"He's looking for good culture fit and what he doesn't recognise is potentially when he's saying somebody like me and here are some of the things that I've done, who's taken the same pathway that I've had and it precludes difference coming into the organisation" (Female, HR manager, company F)

"The men in the business will often look to promote and advocate for the other men in the business …so they would often, for example in developments they will just look at you know, oh that guy's really good and he should be promoted, without necessarily looking at other option" (Female, HR manager, company D)

Impact of gender-based HR equality policies and programs of representation

Organisation's diversity paradigm and diversity policies drive the choice of diversity HR programs (Kulik, 2014) and affect their effectiveness (Podsiadlowski et al., 2013; Verbeek & Groeneveld, 2012). Organisations use many different policies and practices to address workplace equality without assessing outcomes or undertaking any tracking or measurement of change. When asked about measuring the outcomes of gender-based HR programs, half of the respondents wasn't aware of any measurements used and the other half reported that annual staff engagement surveys were used for this purpose:

"That's not specifically gender so therefore we also have specific diversity inclusion questions in there as a check-in really just to see you know, how people are feeling about that as well and you know, if it is high or … um, and the areas that we need to focus on" (Female, HR manager, company A)

"Yes there were...well there was an annual staff survey and the results of which I believe they took seriously and that would've given them input to develop programs and focuses" (Male, senior manager, company A)

The main exception to this observation was the measurement of workplace composition. The WGEA compliance report includes a workplace profile including the gender composition of the workforce and the data on equal remuneration between women and men. The respondents were aware of the progress made in that area:

"That was set a couple of years ago and we have a target that we're trying to get towards in terms of the KPI by 2020...Which is 50/50 women in management, and so I guess that gives us the yardstick of where we're trying to head" (Female, HR manager, company F)

"We are a Pay Ambassador so we are, you know, closely monitoring our pay equity ratio which sits at 99%" (Female, HR manager, company B)

DISCUSSION & CONCLUSION

The findings from this study provide support for institutional theory as having an impact on how gender-based HR initiatives and policies are designed and implemented in project organisations, and in turn how they influence the workplace equality outcomes. The project-based organisations in the property sector are undergoing various degrees of organisational change in response to institutional pressures to adopt workplace equality. They offer a number of diversity policies and programs, however, the "implementation gap" blamed for lack of outcomes (Verbeek, 2011) is also evident. We found that the key challenge in the implementation is lack of consistency driven by differences between intent (designing EEO policies and strategies) and practice (delivering diversity programs). The intent was mostly motivated by legal and business case diversity paradigms, offering workplace equality strategies and policies addressing the legislative expectations. Further, the organisations were also responding to market forces such as shortages of skilled workers what drove commitment to introducing diversity programs, reinforcing the influence of the institutional environment. In addition, while a strong business case accompanied the equality initiatives in those organisations, there was a limited tracking and auditing of the organisational processes and outcomes of those initiatives.

Various levels of management can also affect the implementation quality and effectiveness to different degrees (Wright & Nishii, 20113). Research confirms that appointing managers and committees with responsibility for change has better chances of being effective (Kalev, Dobin & Kelly, 2006; Myer & Rowan, 1977). However, only half of the property organisations adopted diversity committees with responsibility for workplace equality adoption. Further, only 50% set

targets and accountabilities such as KPIs, expressly for the purpose of implementation of workplace equality initiatives, with focus only on the top tier of senior management.

Favouritism and the merit bias was also evident in recruitment and promotion practices. Some line and team manager's recruited people with similar gender, background and experience. The traditional culture of merit based on mantra of 'the best person for the job' reinforces favouritism in influencing the recruitment and promotion decisions. This occurs despite efforts of multiple gender-based HR policies and initiatives aiming to even the playing field for women.

Overall, the organisations in the property industry embraced the legal (access and legitimacy) and/or business case for diversity (learning and effectiveness) motivation towards workplace equality selection, supporting the view of institutionalisation as a process through which environmental forces create organisational change. However, in practice the implementation of workplace equality policies and programs was challenged by lack of consistency in approach and strong influence of the prevalent culture of favoritism.

French & Strachan (2015, p.238) indicate that equal employment initiatives are 'minimal in design, implementation and outcomes' in project industries. Indeed, this study confirms that existing diversity policies have limited impact on the representation of women as mainly compliance is driving implementation of workplace equality initiatives and leaving a significant implementation gap. Instead, genuine gender-based equality initiatives with robust implementation processes have the capacity to combat women's underrepresentation in those organisations.

Contributions to theory and practice

The findings of this study extend the application of the institutional theory by broadening our understanding of the isomorphic (homogeneous) forces associated with the selection and implementation of gender-based HR initiatives in project-based organisations. The process of organisational isomorphism continues to encourage female underrepresentation in project-based

property organisations.

The results also have a practical implication for the industry; its leadership and human resource (HR) management. In order to see positive effects, organisations must develop execution plans that are grounded in business strategy, implemented across all layers of organisation and measured for effective outcomes. The outcomes evaluation is necessary to provide feedback to the process for successful implementation. Project-based organisations could also look outside their own industry to find suitable female candidates from outside of the core skills range and support them in development of industry-based proficiencies. They could also focus on HR initiatives such as succession planning and retention to provide women with better career development opportunities and encourage greater retention of people who follow different career trajectories. Finally, overcoming the inherent industry biases exhibited in favouritism in recruitment and promotion practices will open the doors to more diverse workplaces.

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Table 1 Summary of participants

Participant	Role	Industry	Organisation
Female	HR Manager	Engineering	A
Male	Senior Manager	Construction	C
Female	HR Manager	Property Development	D
Male	Senior Manager	Engineering	C
Male	Senior Manager	Property Development	D
Female	Senior Manager	Construction	E
Female	HR Manager	Construction	F
Female	Senior Manager	Property Development	D
Male	Senior Manager	Construction	C
Male	Senior Manager	Engineering	A
Male	Senior Manager	Engineering	A
Female	HR Manager	Engineering	B
Female	HR Manager	Property Development	F

Table 2 Summary of gender-based HR policies and practices

	Recruitment								Retention	Training & Development		
Organisation	Broaden job description	Mixed gender interviewers	Graduate Program	Mixed gender candidates	Recruiters trained in equality	Removing gender from CVs	Incentives for referrals	Proactive Sourcing	Salary review	Bias training	Mentoring / Sponsoring	Other diversity training
A			1						1		1	
C												
D		1		1							1	
C												
D											1	
E												
E			1								1	
D											1	
C												
A	1		1	1		1			1	1	1	1
A							1					1
B											1	
F		1			1			1	1		1	
	1	**2**	**3**	**2**	**1**	**1**	**1**	**1**	**3**	**1**	**8**	**2**

No. 5 Management Tactics and Social Capital Factor
Delivered Session

The Effect of Video Resume on Recruiters' Attitude: Examining Impression Management Tactics and Social Capital Factor

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ABSTRACT

This study aims to explore how self-promotion(Impression Management Tactics) in video resume can made difference, and if other's recommendation(Social Capital Factor) influence recruiters attitude. By conducting a quasi- experiment from 180 master degree students in Taiwan. Results is shown that: 1. Both the use of other's recommendation and self-promotion pose a positive influence on recruiter's cognition of job suitability and conation of hiring recommendation, but not on recruiters' affection of affective attraction in video resume screening. 2. There is no interaction effect between self-promotion and the use of the recommendation of others with regard to video resume screening.

Keywords: video resume, self-promotion, recommendation of others, recruiter's attitude, job suitability, affective attraction, hiring recommendation

INTRODUCTION

Resumes, recommendation letter and interview are the 'classic trio' assessment tools for recruiters and applicants in the formal recruitment and selection process. Resumes and recommendation letter are the most used in candidates screen process (Apers & Derous, 2017; Piotrowksi & Armstrong, 2006; Steiner, 2012). Recently, due to technology development, new application in human resource management, such as broadband internet application usage, the video-hosting based and social media web sites with multimedia material, emerged and became increasingly popular (Lorenzi, 2008; Waung, Hymes, & Beatty, 2014). Organizations always provide the new channels, such as online resume posting sites with multimedia capabilities to allow job applicants to submit a video resume for the replacement or supplement to their paper resume (Dizik, 2010). Under this trend, video resume plays as an important role for both job seeker and employer in the job application process (Oostrom, van der Linden, Born, & van der Molen, 2013).

In the past few years, the research on video resume has focused on the following issues category to enrich the study of this new research field. (1) Recruiters' viewpoint : the outcome of applicant evaluation, related to interview by recruiter including hiring decisions, personality judgment, perceived qualifications, and interview performance (Apers & Derous, 2017; Hiemstra, Derous, Serlie, & Born, 2012; Waung, Hymes, & Beatty, 2014; Waung, Hymes, Beatty & McAuslan, 2015). (2) Applicants' viewpoint: the intentions to submit video resume to employer (Gissel, Thompson, & Pond, 2013). (3) Research method: Most of those researches are used experiment approach and argue the effect between video resume and paper resume. Those researches examine the antecedent, just like self- promotion, how to affect recruiter's behavior mediating by frequency, gender with the theory of impression management (Waung, Hymes, Beatty & McAuslan, 2015), realistic accuracy model, media richness theory (Apers & Derous, 2017; Funder, 1995; 2001)) by inferring applicants' personality for recruiter's judgment. Of course, scholars should want to know more antecedents to affect the recruiter's intention, attitude and behavior under other theory to enrich

our current research (Apers & Derous, 2017; Hiemstra, Derous, Serlie, & Born, 2012; Waung, Hymes, & Beatty, 2014; Waung, Hymes, Beatty & McAuslan, 2015).

As mentioned, reference letter or the recommendation of others on video commonly used by job seekers to enhance the credibility of their self-stated information. Further, the recruiter may feel those who provide letter or recommendation are the resources and social ties the applicant will bring to and benefit to the organization. Using social capital properly are helpful in securing a job (Lin and Burt, 2001).

The attitude of recruiter is a consistent evaluation of a person, a thing, or an object (Engel, Blackwell, & Miniard, 1995). To understand recruiters' psychological process of hiring particular applicant, we adopted a tri-component attitude (cognition, affection and conation, CAC) model that widely used in attitude researches. We treat recruiter's consideration of job suitability as cognition, affective attraction as affection, and the mental faculty of purpose, desire, or will to perform hiring recommendation as conation. This study designed to exam the influences of self-promotion and the use of recommendation on the three components--cognition, affection and conation of recruiters' attitude. Further, we exam the interactive influences of the use of the reference letter or recommendation that alters the relationships between self- promotion and the three components of recruiters' attitude.

This paper aims to examine that how both the antecedent of self-promotion and recommendation letter to affect the recruiter's attitude with the theory of impression management, social capital and CAC model.

THEORY AND HYPOTHESES

Video Resume

Resumes are the first assessment tools of suitability for organizations to determine the judgement to the second stage selection (e.g. interviews) according to the first impression by candidates' qualification in resume (Kouse, 1994; Phillips and Dipboye, 1989).

Video resumes are a new presentation approach to provide insight into one's personality and character and became widely used by new generation graduates (Doyle, 2012; Rolls and Strenkowski, 1993; Bruner, 2007), it's benefit for applicants aiming to show off their KASs in a convenient approach (Hiemstra et al., 2012). Studies posed a positive attitude toward this new form of resumes, it could distinguish candidate's traits, talents, and motivation for specific positions to recruiters and might have a greater opportunity to use self-promotion tactics, smaller format limitation, and the greater exposure of applicants' appearance, voice, mannerisms, and speech patterns(Apers and Derous, 2017; Waung et al., 2015). This growing use of video resumes is getting important, however, in empirical research on recruitment related studies.

Impression Management Tactics and recruiter's attitude

Impression Management Tactics, particularly the assertive tactics of self- promotion and ingratiation, are the most used in interview for all job candidates. (Ellis, West, Ryan and DeShon, 2002; Stevens and Kristof, 1995). Self-promotion tactics are aimed at promoting attributions of competence with four strategies including exemplification, entitlement, enhancement and positive self-description (Ellis et al., 2002). When a proper resume create a better impression can stand out from other applicants, self-promotion emphasizing or showing a person's qualifications or capabilities (Bolino and Turnley, 1999) is a critical issue in seeking a job.

Recruiter's attitude refer to the tendency that recruiter likes or dislikes a certain applicant through the recruiting process. Attitude is a person's consistent reaction of like or dislike is toward a particular object. Through the learning process, a person tends to like or dislike a certain person or object. Among the different constructs of attitude, the cognitive- affective-conation (CAC) model is widely adopted in attitude research (Arnould, Price & Zinkhan, 2004). Cognition refers to the belief that the target object includes more rational understanding rather than subjective emotional feeling. During the recruiting process, concerning the cognition of job suitability by evaluating candidate's quality (e.g., information on the resume) to fit the job position (Hosoda, M et al., 2003). Affection includes moods, emotions and affective memories (Arnould et al., 2004), which forms like or dislike and good or bad evaluation feedback. Wade and Kinicki (1997) found that there was a positive relationship between interpersonal attraction and interview outcomes. Montoya and Insko (2008)

separate interpersonal attraction into affective attraction and behavioral attraction to minimize the possible influences of overlap in conation components. Therefore, affective attraction was used to assess the affective evaluation of the target person in the recruiting research. Conation refers to the intentional and personal motivation of behavior, e.g., the proactive direction, energizing, and persistence of behavior (Hershberger, 1988). We can see conation as a factor that actually influence real behavior or can be recognized as a prediction of certain behaviors (Kaiser and Fuhrer, 2003). Conation has been used as a select intention or purchase activity for consumer behavior (e.g. Thorson and Leavitt, 1992) and drive to explain employee job engagement and organizational citizenship behavior (Bygrave, 2012). In this study, put hiring recommendation as the conation component to measure the participant's conation after watching the video resume to determine how much the participant would like to hire the applicant.

Self-promotion commonly associated with recruiter's attitude. By presenting previous achievements and personal future career plans positively (Kacmar and Erris, 1992), or showing a person's qualifications or capabilities (Bolino and Turnley, 1999). self-promotion tacitly will bring recruiter's perception or cognition a higher rating to create positive memorial points or spotlights during interviews. (Stevens and Kristof,1995; KristofBrown, Barrick, and Frnake,2002). According to Gilmore and Ferris' (1989) distinguishing method, self-promotion can be distinguished into high frequency and low frequency depends on perception of how the applicant attempted to make him or herself more outstanding.

Studies concluded that self-promotion lead to ratings of hiring, introducing to next selection stage, higher fitting degree, or higher performance expectation (e.g., Gilmore and Ferris, 1989; Higgins, Judge, and Ferris 2003; Kacmar et al., 1992). Stevens and Kristof (1995) claimed that using more self-promotion contents in the interviews will receive a higher hiring recommendation and a real job offer in the actual selection process in practical level and propose. Waung et al. (2015) believes that the positive result of self-promotion in interviews could be applied in the resumes and video resumes as well, however, the study concluded that perceived self-promotion in video resumes were ineffective for male applicants and might bring negative impact for female applicants.

As some inconsistent findings above, it is necessary to put more effort to clarify. And proposed following hypotheses:

Hypothesis 1: Video resumes with high self-promotion frequency, will be given of higher rating score of job suitability (a type of cognition) (1a), affective attraction (a type of affection) (1b) and hiring recommendation (a type of conation) (1c) from recruiter.

Role of social capital in recruiting

Social capital was defined as a resource in social network which could be used, accessed through direct or indirect relationship (Lin, 1990; 2000). Good social capital is found to be significantly helpful in securing a job (Lin, 1990; Burt, 2001). Recommendation letter also consider to be a chance that applicant reveal his/ her social capital. The recommender knows the applicant well or able to judge his or her performance assesses the abilities, qualities, traits, and talents of the individual being recommended. It is a valuable tool in selection because they offer a personalized view about applicant (Aamodt, 2005; Doyle, 2002). In hiring situation, the recommender would be cautious using his or her reputation as a guarantee to the candidate (Castilla, 2005; Fernandez et al., 2000). Recommendation benefits to recruiters not only gaining useful information, but also increasing P-O fit, reducing turnover and increasing organizational commitment (Nguyen et al., 2006).

Based on Information richness theory (Daft and Lengel, 1984, 1986; Daft, Lengel, and Trevino, 1987), the recommendation of others on video influence more on recruiter's attitude than single stimuli does (Imagery or words). Compared to recommendation letter, recommendation video would has higher multiple cues with audio and video stimulation, a higher language variety through body language, and a higher personal focus with eye contact and expression. The study expects a video recommendation has greater influence on recruiters' cognition, affection, and conation. We proposed the following three hypotheses as below. In this study, we arrange three types--no recommendation, with letter of recommendation, and recommendation video. Both recommendation letter and recommendation video are use an applicant's social capital.

Hypothesis 2: Recommendation with video resume will be given higher rating score of job suitability (a type of cognition) (2a), affective attraction (a type of affection) (2b) and hiring

recommendation (a type of conation) (2c) from recruiter that compared with absence of recommendation and with the recommendation letter.

In addition to clarifying the single effect of self-promotion frequency and the recommendation types on recruiter's attitude, we are interested the moderating role of recommendation on the relationship between self-promotion and recruiter attitude (McKnight and Kacmar, 2006). When information get from self-promotion and the recommendation of others are consistent, the credibility of information increased. Thus, the credibility will positively influence conation. Jin and Villegas (2007) indicated that higher credibility of online advertisement lead to higher acceptable. Gaziano and McGrath (1986) points out that the recommendation of others could reinforce the effect of self-promotion. Therefore, the study proposes the following three hypotheses:

Hypothesis 3: There is an interaction effect between self-promotion frequency and the use of the recommendation of others on job suitability (3a), affective attraction (3b) and hiring recommendation (3c) ,in which the use of the recommendation of others will moderate the effect of self-promotion frequency on job suitability. The research framework is shown as in Figure 1.

Insert Figure 1 about here.

METHODS

Stimuli

Participants across all conditions received the same video resume information except for the manipulation contents. We provided the video clips within 3 minutes and, in the study, a female research assistant was hired as an actress in the video clip to play the role of a 25-year old female applicant. The video resume contained simulated basic information about the job applicant's age, gender, name (named Wan-Ru Chen). Depending on the six different manipulations, the participants were provided with a video resume of different information.

Video resume development

A simulated video resume was develped as a fresh graduate with master degree diploma who prepares to enter the Taiwanese job market. The target job was simulated as an entry level of digital

marketing. According to Cole et al. (2007), the scripts of the video resume were simulated by three dimensions, including academic qualifications (education diploma, major, grade point and award), work experiences(individual job achievements and internship experience) and extracurricular activities(Member of professional societies or college clubs, held elected offices, volunteered for community activities) with total 10 items. The recording procedure applied the simple front facing camera approach including audio and video. The actress wore professional clothing (A formal blouse) and the taping process was completed in a television studio with proper video backgrounds and standard camera angles. One of the sample video's URLs is provided as the following link: https://www.youtube.com/watch?v=yHk0XMBQYWM

Manipulations

Manipulation of Self-Promotion and the recommendation of others

Independent variable 1(Frequency of using self-promotion statements), it presents by high and low frequency of using self-promotion content. The scripts were developed based on the explanation of impression management from Bolino and Turnley (1999) who adopt the original definition from Johns and Pittman's Taxonomy (1982) for testing the frequency using self-promotion IM tactics (emphasizing or showing a person's qualifications or capabilities). The scale of manipulation check Cronbach's alpha is 0.82. Independent variable 2 (the use of the recommendation of others), three control conditions were developed in which the approaches of using the recommendation of others in the video resume differ by condition A(absence of any content involving the recommendation of others), condition B(recommendation letter was provided in the video) and condition C(recommendation video was recorded and provided in the video). The result of the reliability test of independent variable 1 was as follows, and none of the Cronbach's α was lower than 0.8 (≥0.8 indicates a good internal consistency).

Cognition (job suitability), Affection (affective attraction) and Conation (hiring recommendation)

The scale to test the job suitability in the study was adopted by Howard and Ferris (1996), using a Likert 5-point scale, 1 (strongly disagree) to 5 (strongly agree). The Cronbach's α was 0.81

The scale to test the affective affection is combined among five items from Montoya (2008)

and one item from Byrne's (1971) Interpersonal Judgment Scale (IJS), using a Likert 5-point scale, 1 (strongly disagree) to 5 (strongly agree). The Cronbach's alpha was 0.80. The conative component of hiring recommendation was illustrated as a construct to assess recruiters' intentions in terms of hiring recommendations by Stevens and Kristof (1995), using a Likert 5-point scale, 1 (strongly disagree) to 5 (strongly agree). The Cronbach's alpha was 0.80.

Research design

Experimental research is referred to as the research procedure that manipulates one or more than one variables in a controllable condition to measure them and analyze the results accurately.

Survey development

The survey of the study was conducted and finished online. Three main sections are surveyed, including collect demographic information from participants with four questions, clear simulated situation with a job description of the job vacancy (digital marketing) and combined all of the manipulations of independent variables and dependent variables. There were four questions regarding self-promotion manipulation, four questions in job suitability, six questions in affective attraction, and three questions in hiring recommendation.

Experiment design

The manipulation items of the study included the frequency of using self-promotion statements and the use of the recommendation of others, the experiment was designed by a between subjects approach which utilized simulated situation to manipulate a 2 (high frequency, low frequency) x 3 (no recommendation, recommendation letter, recommendation video) matrix. There were six groups and each group were participated by 30 participants (180 in total).

Procedure and participants

Participants in the study were master degree students, all 180 of the drawings were put in a paper box, and there were 30 drawings for each group (6 x 30 =180).

RESULTS

Hypothesis testing

Two-way ANOVA test on job suitability, affective attraction and hiring recommendation.

The results of main effect between the frequency of self-promotion and job suitability (F =

4.45, $p = 0.04 < 0.05$), and the recommendation of others and job suitability ($F = 8.00$, $p = 0.00 < 0.05$), the interaction effect between the frequency of self-promotion and the use of the recommendation of others ($F = 1.07$, $p = 0.35 > 0.05$) were provided. The hypothesis 3a was not supported, whereas self-promotion and the use of the recommendation of others did influence job suitability significantly respectively. High frequency of self-promotion, $M = 3.80$, $SD = 0.55$); low frequency of self-promotion, $M = 3.64$, $SD = 0.45$), it proved that compared to groups of low self-promotion frequency video resumes, recruiters gave higher job suitability (a type of cognition) rating scores on high self-promotion frequency groups, thus hypothesis 1a was supported.

On the other hand, after making sure of the difference of the frequency of self-promotion, to discuss the differences among groups in the use of the recommendation of others, the Tukey's HSD of Post Hoc Tests were used to determine the relationship within three groups (Tukey, 1949). The significant difference happened between groups of no recommendation and recommendation letter ($MD = -0.23$, $p = 0.03 < 0.05$), and between groups of no recommendation and recommendation film ($MD = -0.36$, $p = 0.00 < 0.05$). Nevertheless, there was no significance occurring between groups of recommendation letter and recommendation film ($MD = - 0.13$, $p = 0.34 > 0.05$), thus hypothesis 2a was only partially supported. Both groups of recommendation film and recommendation letter outperformed the groups of no recommendation in job suitability but using recommendation film or recommendation letter showed no difference in this study.

The results of the main effect between the frequency of self-promotion and affective attraction ($F = 0.33$, $p = 0.56 > 0.05$), the main effect between the use of the recommendation of others ($F = 1.83$, $p = 0.16 > 0.05$), and the interaction effect between the frequency of self-promotion and the use of the recommendation of others ($F = 0.10$, $p = 0.91 > 0.05$). It also proved that the Hypothesis 1b, 2b and 3b were not supported.

The results of the main effect between the frequency of self-promotion and job suitability ($F = 4.34$, $p = 0.04 < 0.05$), the main effect between the use of the recommendation of others ($F = 4.58$, $p = 0.01 < 0.05$) and the interaction effect between the frequency of self-promotion and the use of the recommendation of others ($F = 1.08$, $p = 0.34 > 0.05$). It shows that hypothesis 3c was not supported since there was no significant level of the interaction effect, whereas self-promotion and

the use of the recommendation of others did influence hiring recommendation significantly respectively. High frequency of self-promotion, M= 3.89, SD = 0.69); low frequency of self-promotion, M = 3.70, SD = 0.58), it is proven that compared to groups of low self-promotion frequency video resumes, recruiters gave higher hiring recommendation (a type of conation) rating score on high self-promotion frequency groups, thus hypothesis 1c was supported.

On the other hand, after making sure of the difference of the frequency of self-promotion, of no recommendation in hiring recommendation but using recommendation film or without recommendation showed no difference in the study to discuss the differences among groups in the use of the recommendation of others, the Post Hoc Tests are used to determine the relationship within three groups. The significant difference only occurred between groups of no recommendation and Recommendation Film (MD = - 0.39, $p = 0.01 < 0.05$). Nevertheless, there was no significance occurring 1. between groups of no recommendation and recommendation letter (MD = -0.13, $p = 0.50 > 0.05$), and 2. between groups of recommendation letter and recommendation film (MD = -0.21, $p = 0.15 > 0.05$), thus, hypothesis 2c was only partially supported. Only groups of recommendation film outperformed the groups of no recommendation in hiring recommendation but using recommendation film or without recommendation showed no difference in the study.

DISCUSSIONS AND CONCLUSION

Discussion

According to each hypothesis testing result, the three topics that will be discussed are listed below:

The influences of self-promotion on recruiters' attitude

Although the major findings which are in favor of the positive effect of self-promotion on hiring decisions lie only in the studies of interviews (e.g., Gilmore and Ferris, 1989; Stevens and Kristof, 1995), the study further extended the findings of (Knouse, 1989), from traditional paper resumes to video resumes, which proves the positive influence of self-promotion on recruiters' attitude. Furthermore, the scholars in the past tended to only focus on the conation part of behavior intention such as ratings of hiring, introducing to next selection stage, higher fitting degree, or

higher performance expectation (e.g., Gilmore and Ferris, 1989; Higgins, Judge, and Ferris 2003; Kacmar et al., 1992). This study not only shared the same perspective from the scholars above but also further agreed on the view of Stevens and Kristof, (1995), which states that self-promotion strategy of impression management would be used to increase liking or attraction level.

Through the experiment of 180 master's degree student participants, the result indicated an intriguing conclusion. Although the findings of this study in cognition and conation shared the same findings with (Gilmore and Ferris, 1989; Higgins, Judge, and Ferris 2003; Kacmar et al., 1992; Knouse, 1989), there was no significant influence of affection component found in this study. The affection attraction might be influenced by other factors such as physical attraction (e.g., social desirable traits from Dipboy et al., 1977) or other factors but not self-promotion or the recommendation of others. And the study also showed different findings which stated that perceived self-promotion in video resumes are not effective for male applicants and might bring about a negative impact for female applicants (Waung et al., 2015). In the findings of this research, the positive influences of self-promotion still existed in the cognition and conation part of the female applicant. Therefore, by the comparison with the groups of two levels in self-promotion frequency (high and low), the positive impact of self-promotion on cognition (job suitability) and conation (hiring recommendation) was proved in the study, but the components of affection (affective attraction) was not as expected.

The influences of the recommendation of others on recruiters' attitude

This study provided three levels of the use of the recommendation of others to test their influences on recruiter's attitude. The results indicated the same situation of the former variables in self-promotion, but pose no significant influences on affection component. Although the previous findings of others' recommendation focused on the recommendation letter only (e.g.,; Yakubovich and Lup, 2006;), the study further investigated the different media presenting forms rather than the content difference. Hence, in the study, the actor used the recommendation letter as a script, memorized it, and read it in front of the camera. With the greater exposure of the applicants' appearance, voice, mannerisms, and speech patterns, the study expected that there will be a greater influence when applying for the scenario in which a recommendation video is used. The results of

this study proved the positive influences of recommendation content in resumes on recruiters' cognition components as according to the previous findings, but there was no significant positive influence in terms of affection components (affective attraction) which is different for the finding of higher liking tendency. Moreover, this study also indicates the different findings from Yakubovich and Lup, (2006) in the conation component which will be discussed in the next paragraph.

The other interesting findings lay in the comparison between the group of recommendation letter and recommendation video in the cognition component (job suitability) and conation component (hiring recommendation). According to the findings of the result, either using the recommendation letter or recommendation video posed a positive impact on recruiter's job suitability ratings, but there was no significant difference between recommendation video and recommendation letter; and in the hiring recommendation aspects, recommendation video was the only recommendation content which poses a positive influence, which shares the different viewpoint with Yakubovich and Lup (2006). Although the positive influence of recommendation letter was stated in Yakubovich and Lup (2006), nonetheless, the positive influence of recommendation letter was not found compared to the group without recommendation content in this study. Therefore, although this study inferred that the ratings of recruiters' attitude in recommendation video will be higher than recommendation letter with a significant statistics proof by referring to information richness theory (Daft and Lengel, 1984, 1986; Daft, Lengel, and Trevino, 1987) in which the video type of media could give a richer amount of additional information with more multiple cues, language variety, and personal focus, however, the findings were not supported in any of the groups.

The interactive influence of the recommendation of others and self-promotion

Although there was no available literature found which explored the interactive effect of self-promotion and the form of using capital at the same time, the study still aimed to explore whether or not there is a synergy effect as a pioneer in the field, hoping to provide useful information for the applicants.

Despite the fact that the study adopted the absolute credibility theory of media from Gaziano and McGrath (1986), expecting that the reliability of self-promotion content would be reinforced with the recommendation of others by higher fairness, accuracy, credibility and thus enhancing the

influence on recruiter's attitude, however, all of the interaction results between the recommendation of others and self-promotion on cognition (job suitability), affection (affective attraction), and conation (hiring recommendation) were not significant.

In brief, in the study the interactive influence of the use of the recommendation of others and self-promotion on the three components of recruiters' attitude: Cognition (job suitability), affection (affective attraction), and conation (hiring recommendation) did not exist.

Implications and suggestions

Practical implication

The major contribution of the study is for the job seekers or applicants, by testifying whether self-promotion is a correct impression management strategy and whether recommendation content is the proper content to be attached inside the video resumes, the job seekers can definitely consider applying the technology to his or her job searching process or even career arrangement. Although self-promotion does not positively influence recruiter's affection as expected, the result of the study further extends the findings of (Kristof-Brown, Barrick, and Franke, 2002), in which self-promotion is the strongest tactic related to recruiter's fit cognition compared to any other impression management tactic. Future applicants can have a concrete presenting template of using self-promotion when looking into the manipulation. In short, through the process of organizing the literature and performing the experiment and analysis in the study, it is clear that self-promotion can help bring about positive influences on recruiter's cognition of job suitability and conation of hiring recommendation and thus increases the probability to be invited to the next selection stage or even be hired when utilizing video resumes as the media to present an applicant's background data.

Recommendations would pose positive influences in all of the three components of recruiters' attitude, the findings in the use of the recommendation of others in the study provides the useful insight that recommendation video would be beneficial when obtaining both better cognition (job suitability) ratings and conation (hiring recommendation) ratings when compared with the video resumes with an absence of recommendation; whereas recommendation letter is only beneficial in the components of recruiters' cognition. Therefore, in comparison to the effects of recommendation letter, recommendation video can provide a better content to actually pose positive impacts on the

conation component, which is extremely highly related to real use scenarios of recruiting decisions such as hiring or inviting to an interview.

Finally, the contributions of the study not only offer a reasonable content choice in video resume for job searchers, the recruiters from different corporations could understand the psychological influences by applicants' behaviors or various resume design strategies, and further use it as a reference by refreshing the traditional mindset or creating the responsive steps such as double-checking questions in interview toward examining the self-promotion content, or performing reference checks on the recommenders.

Research limitations and suggestions for future research

Research limitations

When inferring the hypotheses about self-promotions and the recommendation of others, the major findings were conducted in the traditional paper resumes rather than the new resume (video resume). And it was rare to find previous investigations of recruiter's attitude changes by analyzing cognitions, affections, and conditions simultaneously. Lastly, there was also no available literature related to putting self-promotion and the recommendation of others together to analysis the synergy effect on recruiting-related topics. In a nutshell, the field of video resumes deserves more academic attention. When considering the process to conduct the experiment, in order to make a fair comparison between recommendation video and recommendation letter, the experiment in the study chose to use identical scripts of the recommendation without exerting the possible media advantages such as gestures, nodding, strong eye contacts, body languages, props support and stressed tone of voice in the recommendation video. Moreover, the manipulation of social capital in the study focused on the types of the recommendations of others rather than analysis of the applicants' social status or the social status of the recommender. The social status in the experiment only revealed the education backgrounds instead of economic or social status background; whereas the clue of recommender's social status could only be found in the lines of "I am a project manager of Unilever". If the participants of the study have no awareness of the reputation of the company, the results of the study could be changed. The study in the future could adopt such differences as what Lin (1999) suggests about the effects of the social status level.

Lastly, although the scales of the study which were adopted from previous scholars' research overseas are rather mature, and all the scales were translated properly by a high level of English and Chinese language translator who is an American born Taiwanese, the difference of cultural differences and the translation errors could also pose a possible threat to the results.

Suggestions for future research

Based on the findings of this study, future researchers could further extend the core supported findings and reconsider other possible factors that influence the variables which are not supported or are partially supported in the study, or could even arrange the following suggested direction when exploring more feasible practices in video resume design. As mentioned above in the experiment design, the research in the future could further utilize such advantages to create the video resumes (e.g., presenting medals or trophies, or including a short live performance in video resumes). Although the samples from the experiment were all master's degree students, it is suggested that the follow-up research could adopt real recruiting situations.

The simulated situation in the experiment was limited to the position of entry-level of digital marketing for fresh graduates. However, future research could analyze whether industry differences, positions difference or occupation differences would influence the results or not. Given the fact that the study only focused on the frequency of self-promotion but ignored measuring the intensity of self-promotion, future studies could consider putting this construct inside the study by applying the measurement to assess the extent of applicant' embellished or exaggerated accomplishments (e.g., the scale of self-promotion intensity from Waung et al., 2015). Furthermore, the frequency of self-promotion level was only designed to low or high, it was unclear whether or not self-promotion level was related to recruiter's attitude with a linear condition. Future research could add the intermediate level of self-promotion frequency. On the other hand, in the study, although the tri-component attitude model (CAC model) was adopted which was based on the finding of (Arnould et al, 2004; Bennett, Härtel, and McCollKennedy, 2005; Schiffman and Kanuk 2004; Rosenberg and Hovland, 1960; Lazarus, 1991; Tallon, 1997; Hawkins, 2001), it didn't investigate the relationships among components of cognition, affection, and conation in that they might interact each other and simultaneously. A follow-up study could be performed in order to comprehend the entire picture.

Last but not least, the actress of the video resume was a 27-year-old female and the actor in the recommendation video was a 23-year-old male. The influence of the actor or actress's gender and age was not explained clearly in the study. If the setting is different it might, in turn, cause different results. Thus, future studies could spend more efforts on topics such as gender and age.

The limitations and future suggestions above were indicative of what the author of this study found. It is suggested that researchers in the future could improve all of the information above and obtain more objective data to provide further implication in the topic of Video Resume - a Brand New Recruiting Tool.

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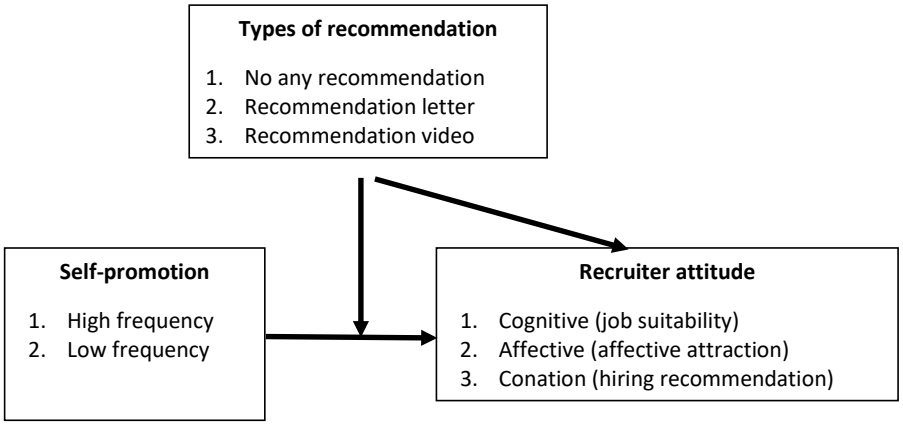
Figure 1. Research Framework



07 Leadership, Governance and Strategy Stream

Interactive Session

Abstract Only

LEADING IN TURBULENT TIMES

Findings from an Investigation of Leadership Practices in the Australian Higher Education Sector

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Abstract

Australian higher education institutions (HEIs) are currently experiencing significant turbulence because of a myriad of factors, including funding cuts, changing educational and workplace technologies, more demanding student expectations and increased competition especially from new entrants to the sector. Focusing on leadership practices in the Australian HE sector, this study uncovers the complex perceptions of leadership at different HEIs, from the perspective of formal leaders to practicing academics. The findings suggest that HEIs increasingly operate in corporatist ways, often leading to some form of managerialist culture. This study finds that there is a perceived need for leaders to strike a balance between hierarchical managerialist leadership and traditional collegial approaches that recognise the need for knowledge-based environments to operate in collaborative ways.

Keywords: Leadership, Higher education, Collegial and Managerialist approaches

INTRODUCTION

Australia's higher education institutions (HEIs) have experienced significant turbulence in recent years as a result of an apparently endless stream of change (Organisation for Economic Co-operation and Development, 2018; Popenici & Kerr, 2013; Zepke, 2007). These include reductions in government funding (Davis, 2017; Fullan & Scott, 2009; Norton & Cherastidtham, 2018), technological disruptions (Becker et al., 2017; Ernst & Young, 2018; James, French, & Kelly, 2017; Popenici & Kerr, 2013; PricewaterhouseCoopers, 2018), changing and more demanding student expectations (Drew, 2010; Ernst & Young Global Limited, 2018; James et al., 2017; Longden, 2006), internationalisation and increased competition (Matthews, Garratt, & Macdonald, 2018; Szekeres, 2004). These factors not only pose major challenges to higher education (HE) leaders, but they also have the potential to shape the ways in which institutions are governed and managed. In Australia, HEIs include both university and non-university higher education providers (NUHEPs). As at June 2019, there were 174 higher education providers in Australia, including 43 universities and 131 NUHEPs (TEQSA, 2019).

Changes in higher education have taken place globally as well and, coupled with digital disruptions (EY, 2018) and increased competition (Considine, 2006), university cultures have taken a more competitive stance in the globalised environment (Bobe & Taylor, 2010). Higher education has also become an economically significant industry in recent times, with participation continuing to grow (Norton & Cherastidtham, 2018). These factors mean that public universities are increasingly operated as if they were tightly managed corporations (Schramm, 2008), with focus on profit maximisation and practices that monitor and measure financial performance and staff effectiveness through key performance indicators. These factors make leadership in HE particularly difficult because of the sector's complex operational settings.

While earlier leadership theories (eg, trait, behavioural and situational theories) have been criticised for their over-emphasis on the individual attributes of leaders or the context in which leaders operate (Northouse, 2013), leadership is recognised as a multifaceted and often confusing concept (Clegg, Kornberger, & Pitsis, 2011). There have been extensive discussion in the literature on the

different approaches to leadership, including postmodern (Clegg et al., 2011), value-oriented (Fairholm & Fairholm, 2009), post-heroic (Fletcher, 2004), distributed (Spillane, 2005), shared (Pearce & Conger, 2002), collaborative (Ansell & Gash, 2008; Rubin, 2009), participative (Somech, 2005) and dispersed approaches (Bryman, 1996; Bolman & Deal, 2003). Authors have used a variety of terms to describe contemporary leadership approaches, with each often emphasising a more dynamic understanding of leadership, particularly in the context of flatter and team-based structures (Collinson, 2011). HEIs, as 'knowledge' organisations, may need to consider adopting contemporary leadership approaches, recognising that effectiveness in knowledge-based environments may depend more on collaborative practices distributed throughout the organisation than on the actions of a few individuals, as leaders at the top. This paper reports on a study of contemporary leadership styles in a selection of HEIs by addressing the research question: 'How is turbulence in the sector affecting leadership practices in HEIs?'

METHODOLOGY

Employing a mixed methods approach, the study was conducted in two stages and combined features of qualitative and quantitative methodologies (Creswell & Clark, 2011). In stage one, practising academics, including associate lecturers, lecturers, senior lecturers, associate professors and professors were invited to complete an online survey to provide their opinions on various aspects of leadership practices in their institutions. In addition, interviews were conducted with institutional leaders and managers including Vice Chancellors, Presidents, Deputy Vice Chancellors, Pro Vice Chancellors, Provosts, Associate Vice Chancellors, Deans, Deputy Deans, Heads of School and Directors of Centres. In stage one, a total of 140 surveys were collected, and interviews were conducted with 24 Higher education leaders at two public universities and two private NUHEPs. Survey data were analysed using Statistical Package for the Social Sciences (SPSS) and descriptive statistics (mean, medium and mode), and interview data were analysed using NVivo.

The participants in the first stage of the data collection were invited to participate in stage two, which involved completing a Delphi survey (in two rounds). While a detailed discussion of the Delphi is beyond the scope of this paper, in short, its purpose was to determine whether a consensus

could be reached among the academics and leaders at different types of HEIs regarding the various aspects of the leadership practices identified in stage one of data collection.

FINDINGS

The findings uncovered a clear perception of the need for HEIs to undertake a balanced approach to leadership. Also, policy uncertainty in the sector is increasingly forcing institutions to seek additional revenue sources, and resource-driven changes are driving institutions to be more efficient in order to grow and succeed in the increasingly competitive environment. As discussed in the following paragraphs, the findings go on to suggest that there is a perceived need for flow-on changes because the current workforce practices may not be fit-for-purpose for modern institutions, and organisational cultures and values can both enable as well as inhibit leadership practices in institutions. Further, the findings suggest that there is need for a more inclusive policy approach in HE, to more equally accommodate the university and non-university elements of the HE sector.

Perceived need for changes in the higher education workforce

This study revealed that the composition of the current HE workforce is a challenge, and changes need to be made, particularly in the university sector as opposed to the non-university sector. Leaders noted that workforce practices among HEIs are relatively rigid and generally do not allow leaders to make required changes in the constrained environments in which HEIs currently operate. According to one Dean:

> *...in most institutions currently, the workforce is in the wrong shape. It's not fit for purpose for the kind of institution we have now; it might have been fit for purpose in the '70s or '80s. ... [there are]lot of legacy staff unfortunately still trying to live in the past era (F Dean 1 UniB).*

Leaders believed that when managing the workforce in such a tight financial environment, unions and industrial awards are unhelpful. Leaders indicated that the significant industrial unrest is because the sector is bound by unhelpful industrial awards preventing them from making necessary changes to reshape the workforce. Leaders further emphasised the external environment, specifically unionism, as a significant factor and challenge in making workforce changes. Recent developments in the sector such as the Fair Work Commission's decision to give Murdoch University the right to

terminate an enterprise bargaining agreement (*Sydney Morning Herald*, 2017) have highlighted the point made by leaders in this study. Institutional leaders have expressed these views:

> *...there are issues with rigidity of workforce practices. The industrial environment differs between institutions, with some institutions being more industrial or unionised than others. That's part of the context in which leaders have to operate (M Dean 2 UniB).*
>
> *...what staff must realise they're doing is being part of running a very high stakes business which has to be managed tightly (F Dean UniB)*
>
> *What makes the difficulty worse is an unwillingness of staff to accept that the world has changed (M President Non-UniA)*

In contrast, academics had different views regarding unionism. Academics considered that unionism is traditional in the sector because it protects academics from exploitation. An academic stated that unions are vital and disagreed with leaders that the HE industrial environment is rigid. Other academics argued that management would prefer not to have unions, so they could make unilateral changes and decisions that may not necessarily benefit the institution. The academics believed that employee representation, such as unions, provides a counterbalance against management. Another academic took the view that a strong union is essential when conditions are being eroded so quickly. Below are some of the quotes from the Academics:

> *Unions are vital and higher-education union is not rigid (M Prof UniB).*
>
> *Management would prefer not to have unions, so they can make unilateral changes for the benefit of their positions, not necessarily the best of the institution. Employee representation [in the form of unions] provides a counter-lever against management. Yes, it is challenging but needed (M Snr Lect UniB).*

The data also suggest that finding the "right" workforce is particularly difficult in regional areas. Participants noted that Australia has a distributional problem with the workforce, with regional areas having difficulty attracting highly qualified academics. One university leader explained that careers in higher education are much less appealing than they were some decades ago. According to one Provost:

> *There's a distributional problem with the workforce, most of which is concentrated in metropolitan rather than regional areas. (F Provost UniA)*

This study suggests that the composition of the HE workforce, in particular as a result of the increased casualisation of the workforce, needs to be addressed, and this is consistent with the findings of Lacy et al. (2017). There are indications that casualisation is a matter of concern for the HE regulator TEQSA (TEQSA, 2017), and uncertainty around funding is often cited as a reason for the growing tendency to engage casual academics. Hence, HE leaders need to carefully consider the current composition of their workforce, which affects not only collaborative practices, but also leadership succession planning within their institutions. A Dean stated:

> *...with the high levels of casualisation in the workforce, this is where the succession planning falters, because we simply don't have the continuing staff from whom to select the next generation of leaders (F Dean 1 UniB).*

This study finds a lack of overall succession planning in the sector, with most institutions tending to undertake succession planning on an ad hoc basis, and this is consistent with the findings of Loomes et al. (2019) and Garman & Glawe (2004). Both leaders and academics noted that institutions were not preparing enough people for leadership and management roles, and not providing enough training to those staff capable of moving into leadership roles. They further noted that collaborative approaches to leadership may enable leadership succession planning, whereas a strong managerial approach can inhibit succession planning in the institution. A university leader stated that Australian institutions are not successful at succession planning, as they do not produce enough leaders locally and do not support the development of staff to take leadership roles. Thus, it was claimed that Australian HEIs must develop better ways to engage with early and mid-career academics and researchers. Academics also raised concern over short-term appointment of leaders, particularly mid-level leadership positions. Participants have expressed these views:

> *...there is stability in senior leadership but a revolving door in middle-level leadership. (M A/Prof UniA)*
>
> *I don't think we do enough to promote the next generation of leaders and provide opportunities for leadership, both in the professional and in academic staff (M PVC1 UniB).*

Participants identified the casualisation of the HE workforce as a major factor that has severely diminished the number of academic positions available and added to the uncertainty of

employment in the sector. Institutions tend to employ fewer full-time staff to minimise both payroll costs and the long-term commitment of retaining staff, because there is no certainty that current levels of student enrolments will be maintained. Given the nature of their appointment, casual staff are arguably less committed than full-time permanent academics.

The high level of casualisation (Lama & Joullié, 2015; May, 2013) and funding cuts have arguably contributed to poorer student experiences because there are fewer student support services in public institutions. Because of the demand-driven system, many feels that enrolled students are not academically well prepared and may require additional support to complete their studies. So, if institutions are unable to provide that level of support, students may tend to drop out, resulting in higher attrition rates. Thus, it appears that the sector has experienced over-casualisation because of uncertainty regarding funding and government policies.

The data from this study also suggest that the relationship between leaders and academics in institutions is often poor, and the growing gap between academics and management is consistent with the findings of Shepherd (2017) and Gill (2009). Most academics believed that they were not involved in the decision-making process at their institutions, and that only nominal consultation occurred to 'tick a box'. In contrast, the leaders believed that academics lacked commitment to being involved in the decision-making process. Some academics believed that they were not well treated, whereas some leaders thought that academics simply wanted to undertake less teaching and focus more on research. These views indicate a mismatch of perceptions. This mismatch may have occurred because of a perceived lack of trust and respect, and institutional promotions are largely based on research, whereas a significant proportion of revenue is derived from teaching.

Organisational culture and values can enable as well as inhibit leadership practices

The study reveals that organisational culture, values and leadership practices in institutions are closely linked. Leaders can play a key role in creating conditions for collaborative leadership to occur because they can encourage others to take the lead at appropriate times: therefore, they can be enablers in terms of creating an effective environment. Leaders and academics noted that factors such

as building trust and respect, rewards and recognition, communication and openness are central in establishing a collaborative culture in institutions. The data suggests that there is scope for leaders to provide an environment in which people can speak and be heard. The participants indicated that organisational culture can both enable and inhibit leadership practices in the institution.

A senior university academic stated that a silo mentality and an ego problem exist among staff. The academic explained that institutions have a top-heavy management structure and that decisions are made unilaterally at the highest levels, which may not produce the best outcomes. Another senior academic added that the sector has a culture of secrecy that excludes academics from decision-making processes, which may inhibit collaborative leadership practices.

Academics noted that leaders should develop a supportive and collegial culture, and simultaneously be willing to make decisions in the best interests of the institution. A senior institutional leader added that formal leaders are fundamental in creating the culture and allowing opportunities for dispersed, shared or collaborative leadership approaches, but that was not happening at the institution. Literature suggests that an innovative and supportive organisational culture supports differences in approaches to leadership in higher education (Lok & Crawford, 2004). One academic stated that:

> *I cannot regard managerialist 'leaders' at my institution as trustworthy when I feel totally disrespected by them (F Snr Lect UniB)*

The data suggests that people at the top of the HEIs need to trust their workforce. Academics noted that people at high levels are generally untouchable and tend not to trust others at the frontline. The study found that building trust between people in leadership roles and those who do not have a formal leadership positions can help building a resilient organisation. From a leader's perspective if academics do not trust management, it would be difficult to work with them and, conversely, from the academic perspective if leaders are not trusted, staff may lose interest in the organisation. Trust and respect were found to be critical for building a resilient organisation. In line with the findings of Raffnsoe (2013) and Paavola et al. (2004), this study suggests that trust is an important form of power

because it is central to the development of knowledge innovation and is subsequently important in knowledge organisations. Other academics shared their experiences by saying:

> *I would not trust anyone from management in this current climate. (F Snr Lect UniB)*
>
> *There is a massive distrust for academics and even more so of sessionals. (M A/Prof UniA)*

Academics suggested that leaders in formal leadership positions should share rewards and recognition with everyone who contributes to the institution's performance, and one senior university academic even stated that there is no reward system in the sector. Collegiality requires commitment from individuals: however, if people are not interested in contributing, attempts at a collegial approach must necessarily fail. A mid-level leader from a non-university institution indicated that little recognition is given to academics, even though they are those who sell, design and deliver the educational "product". Some academics and leaders argued:

> *... 'expertise' in the sense of meaningful accomplishment is recognised, but 'respected' to a secondary degree (M Snr Lect UniB)*
>
> *... [there is a] lack of respect for people who are designing ... and delivering the product. (M Assoc. Dean Non-UniA).*

Data suggest that staff commitment is important for collaborative approaches to decision-making because if staff are not committed, it is difficult to maintain a collaborative environment. A senior university leader added that commitment should be part of enterprise bargaining agreements. If people who are not in formal leadership positions do not demonstrate commitment, it is difficult to involve them in the decision-making process. Collaborative or participative approaches to leadership will not be successful unless everyone in the institution is committed to achieving the organisation's common goals. However, a senior university leader mentioned that not all staff members want to take a leadership role because they may not be willing or able to bear the associated risk.

The study indicated that there is disjointed communication between people in leadership roles and practising academics. A senior university leader argued that it is important to promote open dialogue and to consider the language used in communications between leaders and frontline

academics. Staff should feel comfortable expressing their views and making their voices heard, and senior leadership teams should encourage open communication among staff. This is seen to be pivotal to maintaining a collaborative environment. Communication also plays an important role in the extent to which debates are encouraged, whether critical voices are allowed and whether any differences of opinion are encouraged or subtly repressed. If the decision-making process is not communicated well to academics, they are likely to feel that they are part of the process and implementing decisions will therefore be difficult. A bottom-up and flatter organisational structure would therefore promote better communication. One leader and an academic had these views:

> *...we must make sure the language we use - and the ways in which we open dialogue - is supportive (F Provost UniB)*
>
> *Frank, and open discussion and perceived willingness to 'go to bat' for the wider institution would be helpful (M A/Prof UniA)*

This study further suggests that institutions – particularly public HEIs – appear to be reactive to risk rather than proactive, and this could affect the institutional leader's ability to respond to changes in a timely manner. Thus, leaders need to develop a robust appetite for risk to succeed in an increasingly competitive environment. The data show that public institutions are somewhat complacent and generally have a risk-adverse culture, whereas private NUHEPs appear willing to take greater risks. The data also suggest a prevailing culture in Australia in which some politicians and HE leaders and managers are 'anti-intellectuals' who appear not to value HE as a long-term investment, but rather as training for jobs. The statement on the prevailing culture existing in Australian HEIs was close to reaching a consensus in the Delphi survey. Some leaders and academics argued:

> *Universities are far too complacent and internal looking (F Director of Centre UniB).*
>
> *... sometimes government regulations limit proactive risk mitigation (M Snr Lect UniB).*

Perceived need for inclusive approaches in higher education policy and regulations

This study indicates that leadership at government levels across the sector is unbalanced with most policy in HE is being broadly focused on the public sector. However, as the private sector is a

growing market and comprises two-thirds of institutions, policy attention may need to adopt more inclusive approaches to better include private institutions. The research suggests that private providers currently feel they are excluded from the consultation process at policy level. Some leaders from private HEPs noted that they have been treated differently by the regulator compared with public institutions. In this regard, Edwards et al. (2009) reported that stringent standards and processes were deemed necessary for private HEPs, although they were not required by the legislation. One leader from a NUHEP argued:

> *...the regulator interferes in the operations of organisations, because frankly, the regulator does not understand how private organisations work and they don't go anywhere near universities so how would they understand how universities work? (M President Non-UniA).*

Non-university leaders revealed that regulators may have unreasonable expectations of private providers. Those leaders noted that regulators sometimes try to force private providers to engage fewer casual staff and expect them to involve casual staff in most decision-making processes, in professional development and in scholarly activities. Meanwhile, these leaders stated that more than half the academic workforce of most public universities is comprised of casuals. Further, in some cases, academics delivering qualifications have the same level of qualification (the Higher Education Standards Framework requires academics to hold at least Australian Qualification Framework plus one qualification). But the regulator expects academics at private providers to have a minimum of a doctorate to teach a bachelor's degree. This indicates a mismatch between expectation from public and private providers. A Dean from a non-university noted:

> *... the way that private HEIs respond to the regulator and are held to account against the standards is quite different than it is for universities (M Dean Non-UniA).*

This study finds that the private higher education sector may need better representation on, or even leadership of, committees, subcommittees and various panels of the higher education regulator and other representative bodies, which currently seems widely dominated by university or ex-university people. There is scope for better acknowledgement that private providers form an important part of the HE sector because they seem to be able to explore niche markets and, according to some

participants, they often provide a better customer experience to students. Individuals who are familiar with the private sector or who have worked in the private higher education sector may need to be broadly included during consultation and policymaking. Two leaders voiced their opinion by saying:

> *Our biggest challenges are meeting TEQSA requirements; they seem to have higher standards for private providers than it does for universities (F HoS Non-UniB).*
>
> *The regulator is populated by ex-university people & have skewed views on NUHEP. (M D/Dean Non-UniB)*

Both academies and leaders from non-university institutions reached consensus that there is overregulation and too much focus on compliance over quality. In contrast, there was a very low agreement among university participants on this statement.

THEORETICAL AND PRACTICAL IMPLICATIONS

This study provided a new theoretical approach for the study of leadership practices in the Australian HE sector by giving attention to a wide range of shareholder perceptions of leadership. The study demonstrated that these perceptions, from frontline academics to vice-chancellors at different types of HEIs, allowed a new angle on the myriad of issues relating to leadership in higher education.

The research can also claim to make some contributions to policy approaches and attitudes in the HE sector. It suggests that HE in Australia requires more stable and inclusive policy approaches to better accommodate the whole sector, including universities as well as non-universities. It is clear that current policies appear to be more focused on the public sector, even though non-university HE providers constitute two-thirds of all Australian HEIs.

Further, the study draws attention to the need for change in Australia's public universities. While frontline academics are often called upon to understand the need for change, the study also identifies the need for change among university leaders and managers. Universities need to be more responsive, as well as effective and efficient in taking greater risks and making changes that respond to the changing Australian HE sector. This research also contributes to the leadership literature by suggesting that there is a perceived need to adapt more commercial approaches to leadership in HE

and, in a practical way, to find a balance between the traditional collegial and the hierarchical managerialist approaches in the changing environment.

CONCLUSION

This paper has reported on some of the key findings of this study of leadership practices in Australian HEIs, with particular attention to the difficulties presented by the current turbulent environment. This environment raises issues and challenges for the sector that can impact the ways in which the institutions are led, and this appears to have implications for academics as well as the institutional leaders. Thus, the findings of this study are timely given the current difficulties and uncertainties in the sector.

The results suggest that a balance is needed between managerialist styles of leadership and the more traditional collegial approaches to lead and manage contemporary HEIs. Further, there is a strong perception of the need for change in the HE workforce, because current practices may not be fit-for-purpose for modern institutions. Also, organisational cultures and values can both enable as well as inhibit leadership practices in institutions, so careful attention needs to be paid to their management and communication. Further, there is a perceived need for an inclusive approach to HE policy and regulations to accommodate the entire sector, universities as well as non-universities. The paper draws attention to some of the practical and theoretical implications of these.

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Refugee Migration to Australia as a Wicked Problem: Can entrepreneurship help?

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Introduction

In a rapidly developing world with dynamic market conditions and shifting demographics, entrepreneurship and innovation are often promoted by Government who seek to resolve business stability issues and generate economic growth. Refugees are an important demographic, with millions of refugees seeking asylum globally as a result of escaping persecution or death. However, leaving everything behind and beginning in another country which typically has a different language, different laws, a different culture is challenging. In this paper, we examine the use of entrepreneurship support to address a specific and significant wicked problem, refugee integration and the use of policies and programs to create positive impacts within the Australian community.

Wicked problems

The term' wicked problems' was first coined by Rittel and Webber in 1973 who observed a plethora of social planning problems that were not being solved with traditional linear, analytical approaches. Rittel and Webber (1973) called these concerns 'wicked problems' and compared them with 'tame' problems- those challenges that can be more readily defined, and a solution recognised or worked through. The Australian Public Service Commissioner highlighted in the Australian Governments 2007 report on tackling wicked problems, that though initially looked at from a 'micro' level, the concept of wicked problems 'has gradually been applied to broader social and economic policy problems' (Australian Government 2007, p.3). Wicked problems are pervasive within the Australian Public Service as a result of tackling diverse social challenges involving multiple stakeholders and agencies. The Australian Public Service report acknowledges that a wicked problem 'is an issue that is highly resistant to resolution' and tackling wicked problems is an evolving art (Australian Government 2007). To tackle wicked problems, the APS posited that a mindset that can 'grasp the big picture, including the interrelationships among the full range of causal factors underlying them' is required (Australian Government 2007, p.iii). Furthermore, in solving them, they 'often require broader, more collaborative and innovative approaches, which may result in the occasional failure or need for policy change or adjustment' (ibid).

Raadschelders (2017, p.1) states that 'international migration is, in fact, a wicked problem, since it involves many different stakeholders, concerns issues of which the causes are multiple and layered, and it can only be resolved partially and temporarily since changing time and context will demand continuous adaptation of policy'. This paper focuses on a review of international entrepreneurship policy and programs that support refugees and how these international programs and responses may shape the ways Australian policy may adapt and pivot to the changing needs of refugees. In this paper, we recommend adopting two principles of 'small wins' and a longer term 'collective impact'. We propose that more comprehensive support of refugees through entrepreneurship programs and supports be considered as an essential and viable path to allow refugees to provide valuable

contributions to the economy and the community in which they reside. More specifically, the paper provides an in-depth review of international programs and support that aid refugees, highlights the ways these programs may be modified and applied in refugee entrepreneurship in Australia. It also provides some potential practical next steps to consider when reviewing Australian refugee policy decisions in the view of better positive impacts within the Australian community.

Migration to Australia

The term migration is defined by the UNESCO (2017, p.1) as 'the crossing of the boundary of a political or administrative unit for a certain minimum period of time. It includes the movement of refugees, displaced persons, uprooted people as well as economic migrants.' UNESCO (2017) posits that migrants are individuals who decide when to leave and where to go, even though these choices are sometimes extremely constrained. Migration patterns continue to impact Australia's population and its growth. Australia's population continues to rise, and it has grown rapidly over the past five years, led by surging net overseas migration primarily to Melbourne and Sydney (van Onselen 2019). According to the Australian Bureau of Statistics (2019a), Australia's population rose by 1.6% to over 25 million in the 2018 calendar year. In 2018 a total of 7.3 million migrants were living in Australia with every nation in the world represented (Australian Bureau of Statistics 2019b). Australia's humanitarian intake is potentially being increased, with increases to 25,000 refugees per year being proposed. Migration flows impact the supply of labour in Australia; national income; housing availability; cultural diversity; and social cohesion (Department of Home Affairs 2018). Subsequently, migration to and from Australia and their volume, impacts on policy decisions and the planning outlook at all levels of Government. The following table provides some clarity on the terms that abound in the literature on migration.

<<INSERT TABLE 1 HERE>>

Migrants and refugees create valuable opportunities as generate new outputs, income and address structural unemployment problems in an economy (Desiderio and Salt, 2010). Though sharing common characteristics in relation to social needs and cultural impacts in their place of settlement, there is a distinction between refugees and migrants (Castles 2019), and these terms should not be used interchangeably (UNHCR, 2016). As is evident from Table 1 a refugee is an individual who cannot return to their home country for fear of torture/oppression and/or persecution and often arrive in their host country with nothing more than the shirt on their back. The UNHCR extends this definition by stating that refugees are 'persons outside their country of origin for reasons of feared persecution, conflict, generalised violence, or other circumstances that have seriously disturbed public order and, as a result, require international protection' (United Nations 2019, p.1). Refugees face constraints as they are no longer embedded in their home communities, have often left assets,

documents and credentials behind, and are disconnected from their home country and culture (Robertson and Grant, 2016).

Refugees as a Wicked Problem for Australia

It has been identified that the current, unprecedented tide of humanity moving across the world due to war and conflict is a truly wicked problem. Manning and Reinecke (2016), for example, highlight how people from Africa and the Middle East have been forced, due to regional conflicts and poverty, to take huge chances to enter the European Union by any means possible. Similarly, Hauss (2015) and Murray and Longo (2018) identify the Syrian refugee crisis as a wicked problem with clashes between refugees and border protection staff at European borders. According to the UNHCR (2017), Australia's humanitarian and refugee resettlement program is the third highest in the world, and according to Collins and Krivokapic-Skoko (2018), it is the highest per capita. In 2017 some 23,111 were resettled in Australia (Refugee Council of Australia 2018). Literature, however, identifies multiple challenges for refugees when relocating to another country including blocked opportunities in the labour market (Volery, 2007, p.2) legal restrictions as well as personal and structural discrimination (cf. Heilbrunn, 2019 for a review). At a more micro level, refugees suffer challenges in lacking skills, language, educational qualifications or not having the testimonials citing those qualifications (Birdthistle, 2012); loss of culture and identity, and lacking the relevant social networks for gaining access to information about vacancies in the job market (Rath, 2010).

As a result, refugees entering Australia face a myriad of obstacles, often experiencing high rates of unemployment and greater dependence on taxpayer contributions through Centrelink payments. Legrain and Burridge (2019), for example, found that in Australia, it takes over five years for most refugees to find employment. Owing to these structural barriers, entrepreneurship is perceived to be a viable option to increase economic self-reliance and enable better integration into host societies. By being entrepreneurial, they create their self-employment and can overcome some of the many barriers that they face in relocating to another country. Successful refugee entrepreneurs with increased growth, hire more employees, creating jobs, and contributing to social and economic growth and sustainability. Successful startups result in a benefit for the refugee entrepreneur's immediate family, relatives and then, on a larger scale, the wider community and the host country (Rath, 2010).

Refugee entrepreneurs may provide services and/or products that native entrepreneurs may not be able to offer, as they are more likely to have expert knowledge on specific customer demands or access to sources of supply relating to foreign products/services. Portes (1995) labelled this as 'hard-to-copy' expertise and can be based on first-hand knowledge and/or experience from their home country. Pang and Rath (2007) agree that refugee entrepreneurs are important to the social fabric of their community, thereby sustaining the civic society in which they operate. Kurtoglu (2007, p.428) echoes this sentiment by stating that this is achieved by refugee entrepreneurs adding vitality to the locations

they establish in and by having a 'clear stake in the prosperity, accessibility and safety of their community'.

Hugo (2011, p.10) suggest that 'refugee-humanitarian settlers show a greater tendency than many migrant groups to be owner/operators of businesses, although this varies between different birthplace groups. It could be argued that these settlers are adding an important and distinctive entrepreneurial element to the economic profile of Australia's immigrant mix'. Despite the positive impacts that refugee startups create in their host country, a paucity of research exists on refugee entrepreneurship (Heilbrunn, 2019), and limited research on refugee entrepreneurship policy and programs globally. While acknowledging that these refugee programs are context specific, we believe that a better understanding of these global programs can and should influence the ways Australian policy can be created to better support refugees.

Small Wins to a Wicked Problem

There are many initiatives of migrant and refugee entrepreneurship at a supranational level. In devising the 'Entrepreneurship 2020 Action Plan', the European Commission explicitly designed it to facilitate entrepreneurship among migrants present in the EU (Borbás, 2015). In 2014, the Irish Government published its first policy statement on Entrepreneurship (Department of Jobs, Enterprise and Innovation, 2014, p.12) and it includes a statement that Ireland must ensure that greater numbers of people including migrants start and run their own business. While most EU funded entrepreneurship training programmes are aimed at the general population, targeted courses exist for ethnic entrepreneurs, which includes refugee and migrant entrepreneurs. These courses vary from individual counselling to training courses, workshops, mentoring and access t) credit. More specifically, IFS in Sweden funded by the EU offers work experience programmes free of charge to migrant entrepreneurs. NYP in Finland offers targeted training to immigrant entrepreneurs, which includes refugee entrepreneurs as does Delitelabs in Holland and RE-LAB in Italy. In Malaysia, the Micro-Entrepreneurship Development for Refugees program provides a mix of education support including business skills training, mentoring and fieldwork experience. In Gambia, the Gambia Food and Nutrition Association provides refugees who are already in self-employment additional training on marketing, pricing and business planning to strengthen their livelihoods and business activities (United Nations Conference on Trade and Development 2018). In Uganda, The Youth Leadership and Entrepreneurship Development programme brings experienced youth facilitators together with refugee youth leaders in the Kyangwali Refugee Settlement to develop their leadership skills and entrepreneurial mindsets and to identify community needs and develop income-generating business solutions (UNCTD 2018). In America, they also have a program that targets refugee entrepreneurs - The Immigrant Entrepreneur Development Programme - which offers practical guidance and business training.

Refugee entrepreneurs face several problems and challenges, especially when lacking skills in the language of the host country. Challenges are encountered in communicating with potential customers, suppliers and financiers as well as learning about the regulations of the host country (Fairlie and Lofstrom, 2015). To overcome language problems many organisations have established EU funded training programmes designed to assist ethnic entrepreneurs, i.e. IFS in Sweden offers Swedish for Immigrants and in Finland an NGO offers Finnish language and civic integration courses designed to improve the language skills of refugees and their understanding of the Finnish culture. In Malaysia, the Micro-Entrepreneurship Development for Refugees program provides English language training as does the Newcomer Centre of Peel program in Canada and the Business Centre for New Americans in New York supports refugee entrepreneurs by providing services in their native language.

In East Africa, the East African Community has promoted the movement of entrepreneurs and service providers and ensures the transferability of skills within specific professions (UNCTD 2018). In West Africa, the Economic Community of West African States give refugees the same rights to residence and employment that citizens of the community enjoy. In 2017 the Southeast Asia, the Association of Southeast Asian Nations has signed the 'Consensus on the Protection and Promotion of the Rights of Migrant Workers' which gives a commitment to the humane and fair treatment of migrant workers and to improving their access to justice, social protection and health care services (UNCTD 2018). In Costa Rica, they have implemented the UNCHR's Living Integration program to empower vulnerable refugees to build sustainable livelihoods through employment or self-employment.

The Australian Context

Before 2018, Australia's policy was not inclusive of migrant and/or refugee entrepreneurs. However, recent steps by the Australian Government realises the benefit of migrant entrepreneurs, and this is evident from the 2019-2020 Migration Program proposed by the Department of Home Affairs (2019) where a new pilot has been announced to attract [migrant] entrepreneurs to bring innovative ideas and launch seed-stage startups. However, Legrain and Burridge (2019, p.13) have stressed the lack of focus on the refugee entrepreneur in Australia in saying that

> *'Refugee entrepreneurship has plenty of potential. Yet it scarcely features in public debate, and there is little specific policy support for refugee entrepreneurs. Even providers of settlement and employment services for refugees rarely recognise, let alone encourage, entrepreneurship'.*

Why then should Australia focus on developing policy support for refugees? There is enough evidence to indicate that refugees do contribute and contribute significantly to the Australian economy if given the opportunity. In 2013-2014, the Australian Bureau of Statistics (2017) found that 18,336 humanitarian migrants earned $346 million from their own unincorporated businesses with a median income of $15,716. Other figures provided recently indicate some outstanding contributions. A report

by the Centre for Policy Development and Open Political Economy Network highlights that if Australia were to support refugees to become entrepreneurial, they have the potential to contribute nearly $1bn to the economy within ten years (Refugee Council for Australia 2019). As refugee entrepreneurs become more embedded in their community, there is a psychological boost for the refugee and his/her family, their social capital increases and their language skills improve. Furthermore, 'the community gains added fiscal benefits such as increased access to products and services, jobs, increased tax revenues and decreased welfare spending' (ibid, p.1).

Many refugees establish small businesses such as a corner shop or restaurant, and many are sub-contractors and others are independent consultants. However, some refugees are very successful. For example, Stevenson (2005 as quoted by Hugo 2011) analysed the origins of the BRW annual richest people in Australia and five of Australia's eight billionaires were refugees. Legrain and Burridge (2019) also identified successful refugee entrepreneurs including Frank Lowy, Australia's fourth-richest person, fled war-torn Czechoslovakia, established Westfield Development Corporation and Tan Le, a refugee from Vietnam, was recognised as the 1998 Young Australian of the Year and co-founder of a high-growth firm. Reports recently published however paint a very bleak picture in terms of the supports available at Federal and State level in Australia. The Refugee Council of Australia (2019) and Legrain and Burridge (2019) acknowledge that there are limited soft skill supports such as training, mentoring from federal and state governments and what is available is commonly available through non-governmental organisations (NGOs) which tend to be located in Sydney and Melbourne. Using 2013-14 ABS (2017) figures as a guide, refugees who reside in Queensland and South Australia do not have the same opportunity to attend NGO programs as compared to their counterparts in Victoria who have more options to choose from in terms of the NGO supports available to them. The NGO programs include the following:

<<INSERT TABLE 2 HERE>>

As indicated in table 2, the Stepping Stones to Small Business program provides flexible business training to accommodate participants' language requirements and childcare duties. The Catalysr program provides unemployed migrants and refugees with mentoring and access to an incubator program and provides a variety of individualised support (UNCTD 2018). Ignite Small Business Start-ups using their network of industry experts provide support to aspiring refugee entrepreneurs. Sister-Works empowers female refugees and migrants through programs on how to work in Australia and developing their literacy, numeracy and business skills. Like the other programs, the ASRC 'Entrepreneurs Program' aims to build the skills set of refugees and asylum seekers to empower them to be entrepreneurial. The LaunchME program provides native, migrant and refugee entrepreneurs with coaching, mentoring, business planning, as well as a microenterprise loans.

There are two further programs of note that refugee entrepreneurs can participate which include the Entrepreneurs Program and the New Enterprise Incentive Scheme (NEIS). Both programs have a wide geographical spread and focus on supporting entrepreneurs across the lifecycle of the entrepreneurial firm. The NEIS program targets unemployed nascent entrepreneurs and those who have a viable business idea are provided with training with a business plan as the output (Australian Government 2018). The Entrepreneur's Program supports businesses, thus available to refugee entrepreneurs, to commercialise novel ideas, provides access to an established advisor and facilitator networking service (Australian Government 2019a). At a Federal level, the Australian Government is currently trialling a program devised for refugee and migrant entrepreneurs. The program aims to 'provide an opportunity for people who face greater challenges, such as poor literacy and numeracy, cultural issues or find traditional classroom-based training difficult, to establish a business' (Australian Government 2019b, p.1). From the middle of 2018, all NEIS providers can extend the provision of their services to refugees/migrants, with mentoring included. The program assists in writing a business plan, investigating and find suitable premises, help in accessing small loans and/or microfinance. Additionally, there is support in accessing language interpretation if needed. It is too early to know the impact of this program and is dependent on NEIS providers communicating to refugees about the program. At the State level, there is the LaunchVic program overseen by the State of Victoria, which supports first-generation migrants and refugees. It has established the Hatch Quarter Playbook, which guides the refugee entrepreneur through the startup process.

What can Australia learn from their global counterparts in terms of financial support?

The World Economic Forum (2013) highlights the importance of having funding and finance available to entrepreneurs. Accessing finance is a significant challenge for anybody and particularly for refugee entrepreneurs who are faced with a completely different financial environment to that which they experienced in their home country. Refugee entrepreneurs often struggle to get credit from financial institutions in their new host country, typically because they lack a credit history, and they lack collateral to secure loans. Lenders often perceive refugee entrepreneurs as high-risk and could inadvertently discriminate against them due to lack of documentation to support their applications.

In Europe, the Competitiveness of Enterprises and Small and Medium-sized Enterprises (COSME) provides access to loans and equity finance for SMEs that would otherwise not be able to access funding due to their perceived high risk or lack of collateral, thus including refugees in its remit. The COSME Loan Guarantee Facility fund provides guarantees and counter-guarantees for financial intermediaries. In Japan, the ESPRE program provides access to microfinance for capital investment for refugees who have limited or no access to finance from regular financial institutions or public lending programs. In the US, the Office of the Refugee Resettlement's (ORR) Microenterprise Development Program offers refugee entrepreneurs microcredit loans of up to US$15,000, helps

refugees to build or repair their credit history where it is necessary and may offer a revolving loan fund for credit-builder loans.

<<INSERT FIGURE 1 HERE>>

The European Union has launched several initiatives which aim to provide microcredits to native and migrant/refugee entrepreneurs, as is evident in Figure 1. Microcredits are small bank loans (up to €25,000/A$40,000) to assist people who have no collateral and/or who have no access to standard bank credit. Australia though has few programs providing microloans to refugee entrepreneurs. The *Thrive* program provides affordable microloans of up to $20,000 to refugees on favourable terms, which includes a fixed 9.5% interest rate and no upfront, ongoing or early termination fees. Loan recipients also receive business support and post-loan mentoring. This program is only available in New South Wales and Victoria. Through Good Shepherd Microfinance newly arrived migrants and refugees can avail of the 'No interest loans – NILS' of up to $1,500 for essentials such as white goods, furniture, cars etc. Through the 'Step up Loan' scheme, they can avail of low-interest loans of up to $3,000 with no fees being applied.

Seed funding initiatives are evident as well, with a slight difference to typical seed funding programs. In the following examples the seed funding is given (i) in exchange for the refugee entrepreneur completing the program or engaging with the initiative, (ii) the refugee goes through a rigours application process or (ii) the seed funding is given as an outcome, i.e. a prize. In Australia under the YGAP First Gen accelerator, refugee social entrepreneurs can avail of grants up to A$1,000, and the program culminates in a pitch competition for a prize of A$25,000. European seed funding initiatives include the RE-LAB project enables refugees to access grants of up to €15,000/A$25,000, in Holland, the Refugees Forward program culminates in a pitch, and the winning refugee receives mentoring and seed funding. In Ecuador, refugees who participate in the UNHCR Livelihoods program can access a one-off payment of US$500 to put into their business (UNCTD 2018). A similar program run in Turkey also offers Syrian refugees with cash grants for establishing their own business.

The next steps

This paper does not purport to provide solutions to the wicked problem of refugees; however, it does present some initiatives, supports and/or entrepreneurship programs that the Australian Government could consider and two broad responses when responding to refugees as a wicked problem, 'small wins' and the longer term 'collective impact'. Overall, we advocate for [more] entrepreneurship programs and supports that are designed to teach and train refugees about self-employment as a career option. This can enable them to assimilate into their community and into the wider community, take control of their lives and have a sense of purpose.

'Small Wins'

Manning and Reinecke (2016) state that 'small wins' might be a promising alternative to tackle large-scale problems. We believe that the initiatives described here if made available to refugees could lead to wins as entrepreneurship to a pathway to overcome blocked mobility in the Australian labour market. As this paper highlights, refugees do start their own businesses in Australia, and they make important economic and social contributions. Most of these business enterprises provide moderate incomes, get refugees off Centrelink payments, provide employment for other refugees and enable refugees to better provide for their families.

In order to alleviate the public perceptions that refugees are burdening rather than contributing to Australia, we recommend that refugee entrepreneurs are celebrated within social media and press. One way this could occur is through a specific focus of refugee entrepreneurship in the Global Entrepreneurship Week that runs in November with an award presented in this forum. It has been recognised that discussing refugee entrepreneurship as an avenue out of unemployment has 'scarcely featured in public debate' (Legrain and Burridge 2019, p.13). To stimulate this debate higher education institutions (HEI), i.e. TAFE and Universities along with its academics should consider having refugee entrepreneurship as a research agenda and disseminate their results through sources like 'The Conversation'. HEIs could consider having a refugee Entrepreneur in Residence within their institution. TAFE's, along with Universities, need to also consider expanding existing entrepreneurship programs and ensure that it is all inclusive. Steps need to be taken by the HEIs to ensure that refugee entrepreneurs are aware of the programs and that they can attend.

Furthermore, HEIs need to consider segmenting their training so that specific groups of refugees are targeted, i.e. women, youth, socioeconomic status, countries of origin, professional skills and entrepreneurship experience. It is imperative that refugee entrepreneurs have access to mentors that can assist them along their journey. More importantly, the mentors should be able to understand the refugee's language. Therefore, it is recommended that a database is developed of mentors who have specific language skills, who are willing to help the entrepreneurs develop their business concept. Lastly, for the refugee entrepreneurs who participate in training programs offered by the HEIs, seed funding could be linked to the completion of such programs. Through attending, they can upskill as well as immerse themselves in the entrepreneurial ecosystem that the HEI's have.

Legrain and Burridge (2019, p.13) have stressed the lack of focus on the refugee entrepreneur in Australia found that those who are tasked with settlement and employment services for refugees rarely recognise self-employment as a career opportunity. This requires a fundamental shift in thinking. A review needs to be conducted on these service providers to understand why they do not provide self-employment as a career opportunity for refugees. If there is a skills gap in the service provider, then training programs should be provided. Several academic institutions are micro-credentialing their entrepreneurship programs, and this could be how the settlement and employment

service providers gain the necessary knowledge and skills. Alternatively, a list of skilled and experienced trainers within entrepreneurship should be developed so that whenever the settlement and employment services are providing training programs to refugees, they could invite those experts in to discuss self-employment as a career option.

Many researchers have found that language skills are an issue for many refugee entrepreneurs. To ensure that refugee entrepreneurs are aware of the regulatory requirements for startups, it is imperative that they can read the documentation in their native language and/or have access to an interpreter. Therefore, the producers of these materials need to consider the wider audience and their language capabilities. Accelerator managers need to consider providing space on their accelerator programs to refugee entrepreneurs. Oftentimes, refugee entrepreneurs cannot get access to properties to rent due to their lack of collateral and credit history. By inviting refugee entrepreneurs to co-working spaces alongside native entrepreneurs, this can bolster the refugee and possibly lead to a successful business emerging.

It was highlighted in this paper that few microfinancing opportunities for refugee entrepreneurs in Australia exist. The paper, however, did provide examples of global microfinance practices and the Australian Government should consider these examples of best practice, in order to offer a broader suite of microfinance offerings. Consideration should be given to peer-to-peer lending, Islamic finance and diaspora investment. For example, in Ireland, there are tax incentives for entrepreneurs who invest in other entrepreneurs, and this could be a model that could be adopted into the Australian financial system.

Many refugees do not approach banks due to lack of trust, fear of discrimination and a lack of awareness of services they provide. It is imperative that the settlement and employment providers make refugee entrepreneurs aware of the formal banking sector and if possible, develop programs that assist refugee entrepreneurs in connecting with them. Furthermore, at these training sessions, refugees should be informed of the traditional sources of funding that refugee entrepreneurs can tap into. Currently, the NGO microfinance programs are offered primarily in New South Wales and Victoria. It is imperative that these are offered beyond these two states. At a macro level, due to technological advances today, the Australian Government needs to consider how Fintech and biometric solutions can be used to overcome the challenges of identification and lack of documentation of refugee entrepreneurs.

Collective Impact

Roberts (2000) identifies three possible strategies for dealing with wicked problems, and her answer lies within how power is dispersed among the stakeholders. The strategies include: (a) an authoritative strategy whereby the problem is devolved to a group (or individual) who solve the problem, and others are bound to agree to the outcome; (b) competitive strategies is where stakeholders assume a

'win-lose outcome' and (c) collaborative strategies, which are purported to be the best approach to dealing with wicked problems, is where power amongst stakeholders is dispersed and is appropriate when there is a broad need for a behavioural change. The APS Commissioner, Lynelle Briggs in 2007 concurred with Roberts (2000) in that she believes that a part of the solution to wicked problems resides in need for behavioural change and that change might be of a community or a group of communities. In recognition of this place-based community focus, an alternative to small wins is collective impact. Kania and Kamer first coined collective impact as a term in 2011 after acknowledging the isolated impacts of different single organisations in response to specific complex social issues at the population level. Collective impact is not a solution but rather a problem-solving process (Preskill et al., 2014), whereby a range of stakeholders collaborate across sectors to address social issues within local communities (Christens & Inzeo, 2015). Although limited, there is some initial international and Australian evidence that place-based approaches can be effective in tackling social issues (Wilks, Lahousse, & Edwards, 2015).

In understanding the context, Australia has an annual quota of accepting 20,000 refugees every year. From 1945 to the early 1990s, more than half a million refugees and other displaced persons were accepted into Australia. Current examples of refugees coming to Australia include 12,000 Syrian and Iraqi refugees fleeing the war in their home country (Refugee Council of Australia 2018). By evaluating refugees with a focus on placed-based responses, statistics indicate that Victoria had the highest rate of refugee entrepreneurship, followed by Queensland and then South Australia. Currently, NGOs are providing the bulk of the support for refugee entrepreneurs, with Victoria and New South Wales being the most prominent location for this occurring. Queensland has the second highest rate of refugee entrepreneurship; however, it was challenging to find support and initiatives for refugees in this state. It is recommended that a review of the state of refugee entrepreneurship be conducted to identify stakeholders, including Government agencies, NGOs, local training and employment providers to engage in collective impact. Refugees should also be assessed to develop a more comprehensive profile of their competencies and skills to understand their potential. The Australian Government should encourage state governments to target a specific number of refugee-led businesses to be established each year. Furthermore, the providers of enhanced NEIS scheme, which now includes refugees, need to be incentivised to encourage refugees to participate.

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Table 1 Categorisation of migrants

Category	Meaning
Temporary labour migrants	Men and women who migrate for a limited period in order to take up employment and send money home.
Highly skilled and business migrants	Qualified individuals who move within the internal labour markets of trans-national corporations and international organisations or who seek employment through international labour markets for scarce skills.
Irregular migrants (undocumented / illegal migrants)	People who enter a country, usually in search of employment, without the necessary documents and permits.
Refugees	According to the 1951 United Nations Convention relating to the Status of Refugees, a refugee is a person residing outside his or her country of nationality, who is unable or unwilling to return because of a 'well-founded fear of persecution on account of race, religion, nationality, membership in a particular social group, or political opinion'.
Asylum-seekers	People who move across borders in search of protection but who may not fulfil the criteria laid down by the 1951 Convention.
Forced migration	In a broader sense, this includes not only refugees and asylum seekers but also people forced to move by environmental catastrophes or development projects (such as new factories, roads or dams)
Family members (family reunion or family reunification migration)	People sharing family ties joining people who have already entered an immigration country under one of the above-mentioned categories.
Return migrants	People who return to their countries of origin after a period in another country

Source: Castles (2019, pp.152-153)

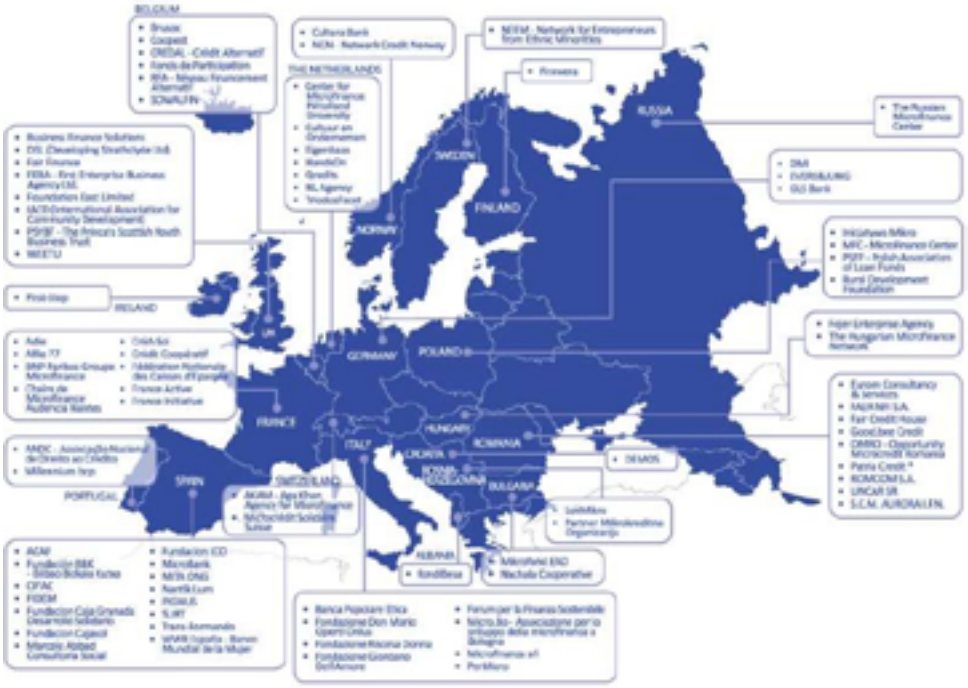
Table 2

NGO programs in Australia

Program	Funder	Geographical scope	Focus
Stepping Stones to Small Business	Brotherhood of St Laurence	Victoria	Female refugee and migrant entrepreneurs
LaunchME	Good Shepherd Microfinance	Victoria, South Australia	Entrepreneurs in general
Asylum Seeker Resource Centre (ASRC)	ASRC	Victoria	Asylum-seeker entrepreneur
SisterWorks	Non-profit	Victoria	Female refuge and migrant entrepreneurs
Thrive Refugee Enterprise	Non-profit	New South Wales, Victoria	Refugee entrepreneurs
Ignite Small Business Start-ups	Settlement Services International	Sydney, Queensland	Refugee entrepreneurs
Catalysr	Non-profit	Sydney	Refugee and migrant tech entrepreneurs

Adapted from: Legrain and Burridge (2019)

Figure 1.


BELGIUM
THE NETHERLANDS
SWEDEN
FINLAND
NORWAY
RUSSIA
IRELAND
UK
GERMANY
POLAND
FRANCE
HUNGARY
ROMANIA
ITALY
CROATIA
BULGARIA
SPAIN
PORTUGAL
SWITZERLAND
ALBANIA

Barriers to innovation and technology adoption in the field of 3D-metal printing – A qualitative investigation

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ABSTRACT

3D metal printing - a form of 'Additive Manufacturing' – is a sustainable innovation predicted to revolutionise the manufacturing industry. Despite myriad opportunities afforded by this new technology there are also many challenges that must first be overcome before it becomes widely adopted and the benefits fully realised. This research focused on the challenges facing 3D metal printing in Australia. Qualitative in-depth interviews investigated perceived benefits of 3D metal printing, barriers to uptake and ways to encourage its future adoption. A literature review, in conjunction with the qualitative research findings facilitated development of a conceptual model of 3D metal printing adoption barriers. Subsequent research will seek to verify the conceptual model and quantify the relative importance of the barriers to adoption.

Keywords: Additive Manufacturing, innovation adoption, barriers, sustainability, 3D metal printing.

INTRODUCTION

Additive manufacturing (AM), as Attaran (2017, p. 2) explains, "refers to the technology – or additive process – of depositing successive thin layers of material upon each other, producing a final three-dimensional product". This process commonly referred to as 3D-printing is a fast-growing area with the potential to transform a variety of industries. After initially establishing itself in the biomedical and aerospace fields, 3D-printing is gaining footholds in other sectors (Buchanan and Gardner, 2019), including construction and manufacturing. AM is a sustainable innovation technology with the potential for creating positive social and environmental outcomes (Hager, Golonka, & Putanowicz, 2016). In relation to the United Nations sustainability development goals (United Nations, 2019), this research is significant in its attempt to enhance the uptake of AM through scientific research within the industrial sector.

AM is a highly discussed topic, yet it has been argued concrete significant applications in this field remain scarce (Jiang, Kleer, & Piller, 2017). This process is highly efficient and uses less raw materials with less wastage (Hager et al., 2016). As Sandberg and Aarika-Stenroos (2014, p. 1293) remarked, "as innovation barriers inhibit or diminish innovative activities, it has become increasingly important to identify and understand them". Anzalone, Zhang, Wijnen, Sanders, & Pearce (2013, p. 807) emphasised the need for more future studies to increase the chances of technology adoption. The following section has structured barriers in line with the above studies which apply specifically to 3D-printing technology where findings are relevant to 3D metal printing and other innovation technologies.

LITERATURE REVIEW

Additive Manufacturing

AM is a new age production process. It is not only gaining importance within the industrial sector but also in the daily lives of consumers (Rayna and Striukova, 2016; Ford, 2014). Many researchers including Petrick and Simpson (2013) have labelled it a '*disruptive technology'*. Mckinsey & Company (2013) suggest these "typically demonstrate a rapid rate of change in capabilities in terms of price/performance relative to substitutes and alternative approaches, or they experience breakthroughs

that drive accelerated rates of change or discontinuous capability improvements". Nevertheless, Mellor, Hao, & Zhang., (2014) believe this technology will have a positive impact on society in the not too distant future.

As this industry evolves, AM will have a profound influence on supply chain design (Bogers, Hadar, & Bilberg, 2016), logistics (The Economist, 2012) and consumer behaviour (Berman, 2012). 3D metal printing specialises in the production of precision high end parts, that are heavily customised and mainly produced in budgeted quantities (Thompson et al., 2016; Berman, 2012).

One of the main reasons for AM's growing popularity is the flexibility in its production line. As suggested by Hasiuk (2014), Rayna and Striukova (2016) & Kapetaniou et al. (2014), 3D Printing not only reduces the time interval in the printing process, but also allows customisation to suit individual needs to a large extent. Yeh and Chen (2018) suggest that the 3D printing market, which was valued at US$ 2.3 billion in 2013 will skyrocket to US$8.6 billion by 2020 at a growth rate of 20.6%.

Barriers to Technology Innovation and Adoption

Ignorance and stereotyping have been identified as two of the biggest barriers to the adoption of new technology (Eisma et al., 2004). Childers, Carr, Peck, & Carson (2001) believed several factors influence people's perception between intended and actual usage. Attitudes toward technology adoption is not only affected by its perceived usefulness and convenience but also its social context (Kulviwat, Bruner, & Al-Shuridah, 2009; Lu, Yu, Liu, & Yao, 2003). However, several researchers (Eisma et al., 2004; Kang et al., 2010 & Lam and Lee, 2006) have collectively agreed that chance of adoption increase if the technology can offer a meaningful purpose coupled with clear cut benefits. While there has been extensive research carried out in the past in relation to the different contexts on innovation adoption (Greenland et al., 2018), there is limited research in 3D-printing adoption. As such, further research needs to be carried out to understand the barriers to innovation adoption (D'Este, Iammarino, Savona, & von Tunzelmann, 2012).

Jiang et al. (2017) have put a question mark against 3D-printing's prospects due to various uncertainties. Based on research by Porter and Donthu (2006) & Jiang et al. (2017) consumer resistance towards general adoption of new technology have been classified under broad categories:

- ***Cost barriers***: high investment cost and operational cost.
- ***Functional barriers***: where consumers evaluate risk corresponding to the perceived value.
- ***Psychological barriers***: resistance due to conflict with consumers' beliefs and stereotypical mindset.

The following section discusses the barriers applying specifically to 3D- printing technology:

Cost

Start-up cost

One of the main barriers towards AM is the high start-up cost (Buchanan and Gardner, 2019; Müller and Karevska,2016). Duda and Raghavan, (2018) classified these costs into material, labour, machine and energy. Some researchers have also related an industry's performance and its ability to support development costs (e.g., Wu, Wang, & Wang, 2016). As illustration, AM will cost more than traditional manufacturing at least in the initial stages (Müller and Karevska, 2016; Duda and Raghavan, 2018).

Optimisation challenges

Although AM holds the edge when compared to the conventional cost of manufacturing, but any optimisation process leads to rapid cost increase (Buchanan and Gardner 2019). Overall costs include usage, printing and technological maintenance cost all of which fall under fixed costs (Yeh and Chen, 2018) and other costs such as system investment of hardware and software (Thomas, 2016; Baumers, Dickens, Tuck, & Hague, 2016). Thus, there will be unwanted economic pressure on optimisation and AM's ability to react to high production demands (Labonnote, Rønnquist, Manum, & Rüther, 2016). As Ishengoma and Mtaho (2014) understand, cost of metal printers that support mixed materials are next to prohibitive in the developing countries. Camilleri (2019) of SpEE3D Australia agreed to the above notion and highlighted lack of industry interest due to high cost and lack of standard value of certification pathways.

Functionality/Suitability Barriers

Absence of standardised processes

One of the challenges that AM is currently facing is the lack of consistency in the finished products using the same Computer Aided Design (CAD) file (Buchanan and Gardner, 2019). There is a clear need of standardisation for materials and processes used along with calibration and testing methods (Gao et al., 2015). This will help in streamlining the materials, equipment and methods that are currently in place. Thompson et al. (2016) stressed on the importance of quality standards, as currently there are variations in the finished products from using same machines and same materials.

Designing challenges

As digitisation and data centric technologies form the core component of AM, the process will require the contributions of highly skilled computer literate engineers (Labonnote et al., 2016). Bos, Wolfs, Ahmed, & Salet (2016) exposed the flaws in the designs which had to be reworked and corrected through AM methods. Berman (2012) is sceptical over the easy sharing of design which could potentially be a bonus or threat.

Quality compliance issues

Buchanan and Gardner (2019) have highlighted on the need for updating existing design standards to meet safety and quality compliance issues. Petrovic et al. (2011) have put the responsibility on engineers and clients to confirm the structural resilience and integrity of metal structures. As earlier stated, there are inconsistencies in the products which are mainly due to the widespread use of un-systemised materials and non-standard manufacturing processes (Richardson, 2017). This becomes a major liability issue particularly within the construction industry where there are several stakeholders involved e.g. designers, contractors, manufacturers of the machines and material manufacturers (Labonnote et al., 2016). Due to the above liability issues, researchers have concluded that significant effort through rigorous testing should be made to ensure that the product is functioning throughout the lifetime.

Size restrictions and production time

There are considerable size restrictions in what the printer are capable of printing. As Attaran (2017) notes, the printer can only print objects that are smaller than the printer size. As a result, there is considerable uncertainty when it comes to printing larger sized parts. This not only requires larger printer but along with it comes the need of larger accommodation for the printer and assembly issues (Attaran 2017). Apart from that, AM is comparatively slow compared to traditional mass production (King, 2012). Due to the above reasons, conventional production is still the preferred means unless there is further advancement in technology and logistical issues (Attaran, 2017).

Psychological Barriers

Organisation

According to Hsiao, Li, Chen, & Ko (2009), organisational factors determine its intention or non-intention in embracing innovation. Liu and Sun (2011) have blamed managerial resistance as a possible AM adoption barrier. Embracing 3D-Printing Technology can cause momentum shift in the operational structure due to changes in job role (Mellor et al., 2014). A successful implementation of AM would not only require substantial managerial support (Cooper & Zmud, 1990) but also a concerted approach through R&D strategy is vital (Mellor et al., 2014). As Attaran (2917, p. 4), cited the example of Chinese government (arguably the largest user of AM), who have committed US$ 245 million in 2013 on AM research and development, thus raising the bar high for other countries to follow.

Research (Gebler, Uiterkamp, & Visser, 2014; Labonnote et al., 2016 & Duda and Raghavan, 2018) has revealed that 3D printing demands expert IT skills among labours to develop and drive the process. This will require a paradigm shift in thinking by the senior management (Gebler et al. 2014) to drive this change. However, this idea augurs well for the education system which will experience an increase in demand for studies in the digital manufacturing area (Gebler et al. 2014).

Society

Kleijnen, De Ruyter, & Wetzels (2007) think image is one of the most critical barriers of adoption specially when it comes to technology. AM made its first appearance with the now infamous term of *'Rapid Prototyping'* which was somewhat negatively construed by the community (Petrovic et al., 2011,

p. 4). The common perception among the members of the public is *robotics* and *automation* will ultimately lead to job losses (Richardson, 2017; Elliott, 2017). Due to the same rationale, Campbell, Williams, Ivanova, & Garrett (2011) have predicted that AM will modify supply chain structures which will also affect labour market, thus posing a barrier. Lindemann, Jahnke, Moi, & Koch (2012) reiterated the above notion in predicting that labour force will come into play only during pre-and post-processing, therefore causing an overall reduction.

FINDINGS FROM THE LITERATURE

The above literature has discovered some relevant barriers from earlier research. Although Peerproduction (2013) suggested that 3D-printing is increasing in popularity, Wüstenhagen, Wolsink, & Bürer (2007) interjected in predicting there is still a long way before AM is embraced by the society. Some established companies in the field of construction are hesitant to switch to 3D printing technology just yet as they don't want to fall out of the mainstream competitive market by making an erroneous judgment (Berger and Heath, 2007). Although many researchers in this field have contributed valuable sources of information for academia and practitioners, many key questions remain unanswered. Researchers are in two minds when the myth (or reality) of shortened supply chain is debated (Campbell et al., 2011, Williams, Ivanova, & Garrett, 2011; Lindemann et al., 2012 and Duda & Raghavan, 2018).

RESEARCH OBJECTIVES

The research addresses gaps in the literature by exploring the key challenges facing 3D metal printing, including the barriers that impede its adoption. More specifically the key objectives are to:

1. Understand the future benefit potential of 3D metal printing technology.
2. Understand the barriers of adoption and how to overcome them.

Through understanding the demands and expectations of various stakeholders, including their reservations about adopting 3D metal printing it should be possible to overcome the barriers so that its production and sustainability benefits can be more swiftly realised.

RESEARCH METHOD

This paper is based on exploratory research with internal (developers of 3D metal printing technology) and external (potential industry customers / end-users) stakeholders. A qualitative approach was chosen to gain detailed insight into the prevailing issues (Stebbins 2001 & Wolcott 2009). Qualitative research provides a flexible approach beneficial in achieving 'Interpretivist' research goals and identifying the range of factors involved (Braun and Clarke, 2014) and has been used in previous exploration of innovation adoption barriers (e.g., Greenland et al., 2018).

Qualitative interview methods

Participants

Yeh and Chen (2018) conducted a study of the critical success factors for adoption of 3D-Printing technology with 18 participants, but recommended future research needs to use larger samples to improve the reliability of data. This study is work in progress and the anticipated qualitative sample size is 25-40 participants with 13 collected so far – the exact number will be determined by the point at which no new dimensions or themes emerge from the depth interviews. Contact details for interviewees were provided by SpEE3D, Advanced Manufacturing Alliance and through a snowballing technique in which respondents also recommended other potential participants.

Interview and schedule

Interviews were conducted either face to face or by telephone and covered the following discussion topics: Current outlook for 3D metal printing and future prospects.

- Perceived benefits of this technology.
- Main adoption barriers.
- Suggestions for improving adoption rates.

In accordance with the university approved research ethics clearance document for this project the interviews followed protocols outlined in Australia's national statement on ethical conduct in human research (National Health and Medical Research Council, 2018). The depth interviews were audio recorded and then transcribed. Transcripts were initially created using Google docs' voice command

and then edited in conjunction with the recording. The anonymity of participants was strictly adhered to along the process, with any names given during interviews removed from transcripts.

Data Analysis

Verbatim comments were then analysed using thematic content analysis which involves reading and categorising various responses into similar themes (Braun and Clarke, 2014). This process followed an iterative process and conclusion were drawn based on the patterns that emerged (Klewitz, Zeyen, & Hansen, 2012).

RESULTS AND DISCUSSION

This paper discusses top-line findings from the initial 13 depth interviews. It was considered to be a useful exercise to analyse results at half way through the qualitative data capture to facilitate the second phase of qualitative interviewing. The initial participants included several chief engineers, mechanical engineers, mechatronic engineers, marine engineers, general managers, project managers, and business owners. Despite comprising a small number of interviews, the preliminary sample generated a range of interesting insights.

Benefits of 3D metal printing

Three distinct adoption *benefits* emerged from the preliminary interviews and these are summarised in Table 1.

Insert Table 1 about here

The following discussion elaborates the above findings:

Prototype production and recycling of obsolete parts were identified as some of the principle benefits. Less tooling, low volume printing leading to less wastage seemed to be popular responses. These benefits were earlier proven by Hager et al. (2016). It was also uncovered that printing niche components can appeal to a specialised portion of the industry, at least initially.

Quick, easy production with short turnaround time will complement one another in terms of designing and prototyping, the idea of which was supported by Hasiuk (2014). One of the biggest benefits is the remote location advantage through in house printing or storing 3D printed parts. This eliminates the lengthy delay of procurement through traditional casting methods. Other flexible options e.g., customised parts, workplace friendly and ease of access were also suggested during this study (Rayna and Striukova, 2016 & Kapetaniou et al.,2014.

Supply chain advantages like less lead time, reduction of unnecessary delays and convenient storage through inventory reduction were suggested as future sustainability options. Research have earlier approved this advantage (Williams et al., 2011; Bogers et al. 2016 & Campbell et al., 2011). Society has a general notion that automation will result in widespread job losses (Lindemann et al., 2012), this perception was not supported by participants, as they viewed this new technology would rather encourage job increases.

Barriers to 3D metal printing

Seven distinct 3D metal printing adoption *barriers* emerged from the preliminary interviews and these are summarised in Table 2.

Insert Table 2 about here

The following discussion elaborates the above findings:

Product quality and specifications: As there is no business model and defined product range, the quality of the end products suffers inconsistencies. This is partly due to non-existent standards. Other issues that were discussed repeatedly were the lack of weldability and lack of product guarantee. One of the scathing criticisms that emerged during the interviews were the products are often not stress tested, hence suffer from substantial safety and legal risks which were earlier supported by Buchanan and Gardner (2019).

Organisation/Customers: The biggest organisational behavioural factor that was discovered through the interviews is the lack of decision-making unit, thus doctrine of collective responsibility prevails. This has contributed in this technology's somewhat truncated implementation. On top of that, due to lack of technical standards, there is hardly any critical application yet. An interesting point was raised by an interviewee on the question on *Intellectual Property* where modifications are done on board or on site on existing CAD files, posing immense risk of compromising IP. Berman (2012) posed similar risk earlier in his research.

Industry Perceptions: As unearthed in earlier research (Cooper & Zmud, 1990; Hsiao et al., 2009), lack of trust in the new technology, rigid opinions, industry outlook, reluctance to change were some of the viewpoints shared by the participants. Industry perception of 3Dmetal printing as a *'side project'* appear to be a critical factor and speak volumes about the pace and likelihood of adoption.

Cost: High initial cost of purchase and installation, along with ongoing material costs of powder used stood out as major cost constraints. The findings are in lines with earlier research (Wu et al., 2016; Baumers et al., 2016 & Wu et al., 2018). Participants stressed that transition onto this new technology can be a form of disruption and the cost of which can be quite high.

Operational: One reason for lack of interest among industry stakeholders is the absence of a business model which leads to widespread inconsistencies in the products manufactured. Furthermore, designer and operator tend to work in isolation mostly, where more coordinated approach needs be considered.

Customer Technology Familiarity/Stage in Decision Making: One of the biggest factors that were repeatedly highlighted during the interviews was ignorance and lack of awareness of public. This resulted in lack of buying behaviour which has earlier been pointed by Camilleri (2019) Since the technology is particularly new, there is general lack of understanding coupled with nominal experience in its practical implementation.

Marketing logistics and distribution: One of the glaring problems facing AM technology in Australia is remoteness of locations and the challenge posed by its geographical distance. As one respondent pointed, "it's difficult to get access to customers here, it's difficult to get access to finance, and if you

need highly specialised skills, it can be a challenge". Other than the location factor, most related businesses are either unaware or uncertain of the prospects and also lack of organised marketing effort both of which can impede possible adoption. Participants generally advocated collaboration through business relationships and networking which could prove beneficial in future adoption.

CONCLUSION

This paper reports top-line analysis of in-depth interviews that explored the benefits and barriers of 3D-metal printing technology. While the results reported here are from a small sample they have helped close gaps in the literature by adding to the understanding of the perceived benefits of and barriers to the adoption of 3D metal printing in Australia. The key benefits identified were prototype production, flexibility and sustainable benefits. The numerous adoption barriers identified enabled a basic model to be produced. The key barriers identified were lack of defined features, non-compliance, inconsistent product features, lack of awareness and willingness amongst industry, mistrust, prohibitive cost and remote locations. This research is ongoing and further in-depth interviews will help to refine the model, before undertaking a quantitative survey to quantify and verify the components and underlying interrelationships.

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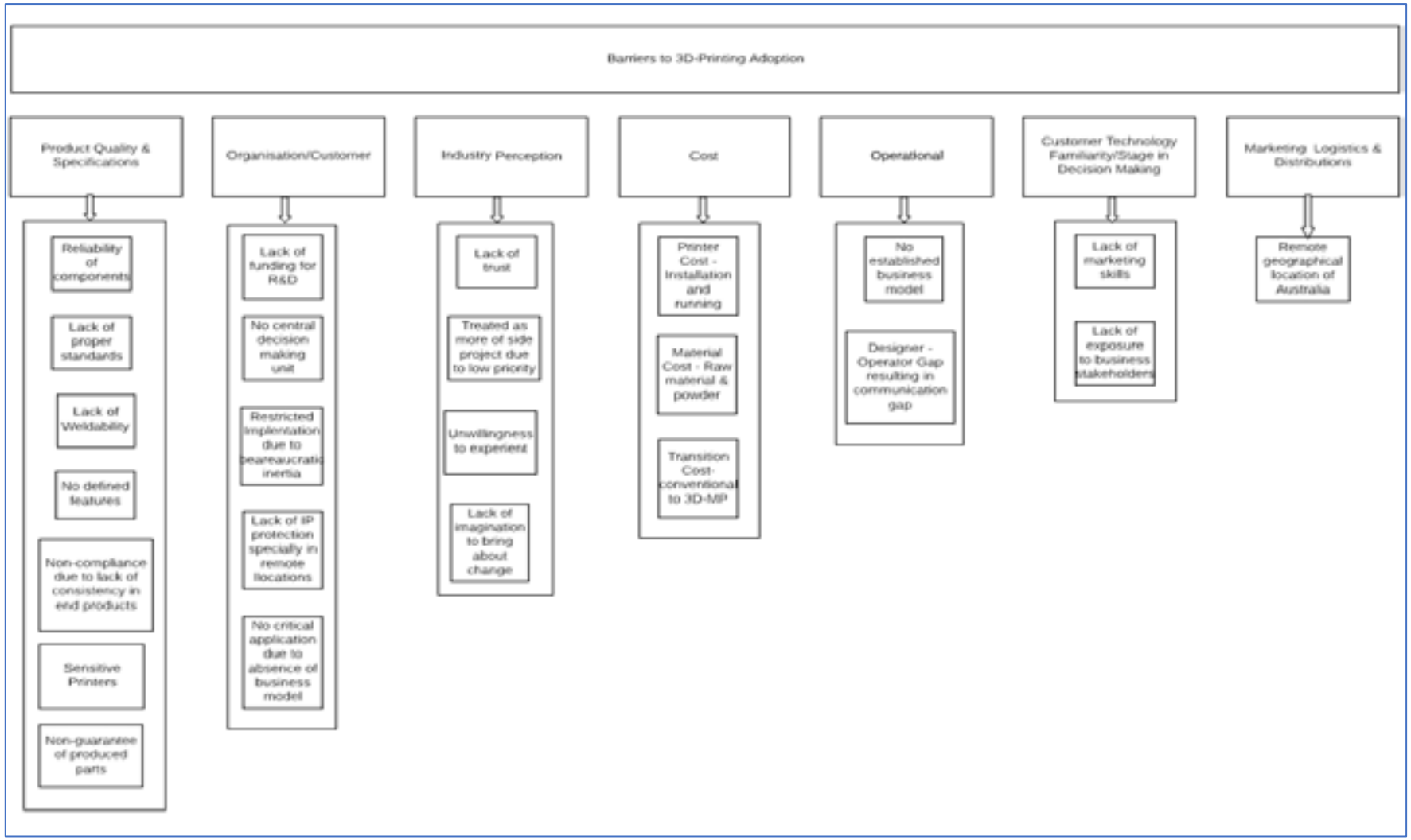

Figure 1. Barriers to 3D-Printing Adoption- Conceptual Model

Table 1: Benefits to 3D metal printing (Base: 13 participants, 33 responses)

Responses	*Number of responses*	*Example of verbatim comments*
Theme		
PRODUCTION FACTORS		
Prototype production	3	*" Our technology is perfect for prototyping; the extent of the prototyping industry is extraordinary"*
Recycling/re-engineering of obsolete parts	2	*"So OBS vessel can be re-engineered and maintained by replacement and recycling"*
Less tooling and set up	2	*"Yep based on what I said previously you can print just one piece without a lot of tooling and setup"*
Low volume production	2	*"SPEE3D's 3D- metal printing technology is capable of producing low volume parts production"*
Niche component manufacturing	2	*"They're very niche components and that's where I see the biggest opportunity"*
Less wastage	2	*"It'll be a huge advantage especially if that can be done that all lead towards less wastage if that's the case"*
Manufacture complex alloys	1	*"We can make some complex alloys, we can explore the possibility of those applications"*
Artistic architectural parts	1	*"You can use it for artistic purposes as well"*
Total	15	
FLEXIBILITY		
Easy to produce	2	*"Speed and flexibility sort of go hand in hand in terms of design and prototyping "*
Short turnaround time	2	*"If you want to try a different design printing you do actually have like one- or two-day turnaround around "*

Quick printing	2	*"And the second aspect of it is we can print these parts really fast"*
Remote area application	1	*"It will also have freedom of movement especially in some of those remote parts"*
Customised parts	1	*"3D printers are great for that because you could make a change in customised stuff without any hassles"*
Workplace friendly	1	*"It is very workplace friendly, very different in terms of the workplace environment"*
Easy accessibility	1	*"The main benefit could be easy access in the way the operation works and recycling parts"*
Interesting model	1	*"The business model is quite interesting because it's a developing industry"*
Very different application	1	*"You just keep the digital inventory and print just in time when you need a part"*
Total	12	
SUSTAINABILITY BENEFITS		
Supply chain advantages	2	*"So, in terms of the supply chain benefits the short turnarounds at low volume is of particular benefit to naval applications"*
Inventory reduction	1	*"The second one is that you can keep a digital record of what it is that you're printing rather than have a large inventory of actual things"*
Environment friendly	1	*"This technology will eliminate dirty manufacturing, health risks, materials handling, environmental impact"*
Job creation	1	*"The jobs of the future thought to lie in the development of new businesses and new technologies"*
Convenient storage	1	*"Quite significant supply chain benefits in terms of storage of material …"*

Total	6	
Total responses	**33**	

Table 2: Barriers to 3D metal printing (Base: 13 participants, 32 responses)

Responses	*Number of responses*	*Example of verbatim comments*
Theme		
PRODUCT QUALITY & SPECIFICATIONS		
Reliability of components	3	*"The challenge is compliance and working out how we can adequately put in a program to test improved reliability of this parts to meet Industries specifications"*
No proper standards with certification	2	*"And that's another major constraint because wherever I specify a system or a product in a design it needs to refer to the relevant technical standards. And then there simply aren't any for most high-end products"*
Lack of weldability factor	1	*"And also, the weldability is a big factor and also the right size and to be able to make Camelot fittings"*
Lack of defined features	1	*"the scope needs to be defined with more concrete standards through proper certification"*
Lack/No compliance	1	*"The challenge is compliance and working out how we can adequately put in a program to test improved reliability of this parts to meet Industries specifications"*
Lack/No consistency in end products	1	*"Currently the parts are not standardised and that seems to be the biggest hurdle which is lack of consistency"*

Sensitive printers	1	*"They use expensive materials and sensitive printers, so the implementation of the technology is very restricted"*
No guarantee of parts produced	1	*"The biggest technical one is that it really is a new way of making things and there's no guarantee that the new way of making things will produce the performance of the past"*
Total	11	
ORGANISATION/CUSTOMER		
Lack of funding for R&D	2	*"The challenges are really just local willingness to seek funding"*
No central decision-making authority	1	*"The other problem is the fact that there is no generalised infrastructure and need central certification authorities who can provide the seal of approval"*
Implementation and integration challenges	1	*"They each have the pros and cons of challenge and implementation challenges integration challenges rather"*
Protection of intellectual property	1	*"Where the files are delivered via the Internet and manufacturing is on site where rights issue particularly where there are refinements and changes made onsite, there will be the issue of intellectual property, that is the question"*
No critical application	1	*"Maybe there would be almost no critical application of metal parts where you could use a 3D printed part because the qualification for the criticality hasn't been done"*
Total	6	
INDUSTRY PERCEPTION		
Lack of trust in new technology	3	*"But at the moment, obviously the 'new technology' factor…*sigh*"*

More of a side project	1	*"I guess one other problem is that this technology is still considered as a side project and needs more full-time employees"*
Unwillingness to experiment	1	*"People are not quite happy to sort of experiment just yet"*
Lack of imagination	1	*"So, imagination is needed but I personally think exploratory activity is the essential thing"*
Total	6	
COST		
High Cost of printers	2	*"I suppose the immediate thing is the cost factor, how much would it cost to print them"*
Expensive materials	1	*"They use expensive materials and sensitive printers, so the implementation of the technology is very restricted"*
High cost of transition	1	*"Commentators may think that disruption isn't anything, but the cost of this disruption can be quite high"*
Total	4	
OPERATIONAL		
No business portal model	1	*"I think Business Portal model is the big problem, which is non-existent"*
Deisgner and Operator isolated	1	*"The designers will be in one part of the factory and the operators will be in another part of the factory"*
Total	2	
CUSTOMER TECHONOGY FAMILIARITY/STAGE IN DECISION MAKING		
Lack of marketing skills	**1**	*"I think poor salesmanship, yeah, definitely because if it's not a good product yet"*
Lack of exposure	1	*"Yeah I suppose increasing the exposure of the machine maybe, get a bit more amongst people so they know which would increase their awareness to some extent maybe"*

Total	2	
MARKETING LOGISTICS & DISTRIBUTION		
Remote geographical location of Australia	**1**	*"You're based in Australia, so it would be hard to provide service because being so remote"*
Total	1	
Total responses	32	

9 Marketing, Communication and Retail (MCR)

Interactive Session

Does religiosity promote environmental values that underpin sustainable meat consumption? A study in the context of an emerging nation.

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ABSTRACT:

Sustainability is becoming increasingly important in consumers' food choices. Sustainable meat consumption is a central topic in nutrition, and a relevant issue for consumer studies.This study aims to fill the gap by examining the effect of religiosity on consumer's pro-environmental values (Altruistic and Egoistic) towards sustainable meat consumption intention. Data will be collect through online survey from meat consumers. Data analysis will be done through confirmatory factor analysis and moderation will be done through process macro. The present research is one of the initial attempts in the Pakistani context to understand the importance of religiosity on values (altruistic and egoistic) towards meat consumption.

Keywords: Sustainability, Altruistic values, Egoistic values, Pro-environmental Attitude, Sustainable Meat Consumption Consumer Intention, Religiosity

9 Marketing, Communication and Retail (MCR)

Interactive Session

Food consumption provides nutrition and energy for the human body (Bogueva, Marinova, & Raphaely, 2017). Protein is an essential macronutrient to sustain human life. Meat products are the dominant source of protein and often consumed in amounts that are in excess of nutritional requirements(Australian Bureau of Statistics., 2018). Worldwide demand for meat and other animal products is increasing due to rising incomes, growing populations and other sociocultural factors. This increasing trend is a global problem because meat production is responsible for global warming and environmental degradation (Apostolidis & McLeay, 2019). Meat is increasingly being criticized as an unsustainable and unhealthy food choice, due to health risks and environmental concerns associated with its high carbon footprint and inefficient use of resources (Cliceri, Spinelli, Dinnella, Prescott, & Monteleone, 2018; de Boer & Aiking, 2019; de Boer, Schösler, & Aiking, 2017; Weibel, Ohnmacht, Schaffner, & Kossmann, 2019). The Food and Agriculture Organization of the United Nations (FAO) estimates that twenty percent of anthropogenic greenhouse gas emissions can be attributed to the livestock industry, including the meat industry (Food and Agriculture Organization., 2018). This situation is mainly due to the fact that, during the last century, meat consumption has increased massively, not only in the developed world, but also in developing countries (Springmann et al., 2018). In Western culture, meat is associated with higher status and traditional food (Mohr & Schlich, 2016; Rothgerber, 2013; Verain, Dagevos, & Antonides, 2015; Weibel et al., 2019). In recent years, the consumption of animal-based food products (*i.e.* meat and milk) has increased twice as much in developing countries than in developed countries (Delgado, Rosegrant, Steinfeld, Ehui, & Courbois, 2001). Consumer's meat choices based on increasing income, industrialized animal production and the modern shopping malls in middle income countries (Grønhøj & Thøgersen, 2017; Mohr & Schlich, 2016; Pohjolainen, Tapio, Vinnari, Jokinen, & Räsänen, 2016; Säll & Gren, 2015; Tosun & Yanar Gürce, 2018; Vranken, Avermaete, Petalios, & Mathijs, 2014; Weibel et al., 2019). The demand for livestock

products is projected to increase by 70% by 2050, due to the growth in both incomes and world population (Gerber et al., 2013).

An increasing awareness of the impact of high levels of meat consumption on health, animal welfare and environmental sustainability is leading to a growing number of consumers reducing or avoiding meat (Apostolidis & McLeay, 2019; de Boer & Aiking, 2019; de Boer et al., 2017; Weibel et al., 2019). Thus, dietary changes (e.g., reducing meat consumption) can yield substantial sustainability benefits (de Boer et al., 2017; Lazzarini, Visschers, & Siegrist, 2018). Changing consumer food behaviour is a challenge. Food preferences are the result of strongly held factors like taste preferences, values and social norms(Joan Sabaté & Sam Soret., 2014). Behavioural changes can only occur with the adoption of a positive attitude based on motives and values (Shin, Moon, Jung, & Severt, 2017). So, it is significant to know if individuals avoid or reduce meat consumption in their diets due to environmental reasons (Sanchez-Sabate & Sabaté, 2019).

Globally, businesses and policymakers are searching for effective ways to encourage more sustainable food consumption and inform consumers of the social, environmental and economic sustainability-related characteristics of their food (Raggiotto, Mason, & Moretti, 2018; Wang, Ma, & Bai, 2019). Therefore, it is necessary to conduct further research to identify those elements that lead consumers to reduce their meat-consumption, or switch to more sustainable meat called “organic meat”. Consumers primarily avoid red meat because of animal welfare and health concerns (Bogueva et al., 2017). Health concerns more commonly motivate meat reduction than animal welfare concerns, while meat-avoidance are motivated by price concern (Malek, Umberger, & Goddard, 2018).

Numerous dietary studies have been conducted in European consumer markets, but the investigations on the Asian consumers are limited as the consumption patterns as well as the attitudes and perceptions do not correspond to the Western consumption (Veeck & Veeck, 2000). In addition, the culture of the region, religion and country greatly influences the consumer’s mind set (Anam, Sany Sanuri, & Ismail, 2018; de Boer et al., 2017; E. A. Minton, Jeffrey Xie, Gurel-Atay, & Kahle, 2018;

Mullee et al., 2017). Culture and subculture are the significant domains that shape the consumer behaviour. At the time of purchase, culture can influence the motives and choices of consumers (Bukhari et al., 2018; LC Chang & Chuang, 2005). Religion is a part of culture that can determine the individual's actions (Kotler, 2000). This represents that follower of a specific faith have definite thoughts that can affect their choices. Consumers' religious beliefs are potentially noteworthy to take into consideration to understand consumer attitude towards sustainable consumption(E. A. Minton et al., 2018). Some studies find that religious people have lower levels of sustainability concern because they have other more prominent concerns in life (e.g., loving God and others, remaining pure) and they want to rule over the Earth and the animals (J. Wolkomir, Futreal, Woodrum, & Hoban, 1997; E. Minton & Kahle, 2014; Schultz, Zelezny, & Dalrymple, 2000). Conversely, other research shows that religious people have higher levels of sustainability concern as compare to non-religious consumers because of stewardship instructions. Such as, treat every human being or animal with the same level of love and care that is given by God (Greeley, 1993; Kilbourne, 1997; E. A. Minton & Cornwell, 2016; E. A. Minton et al., 2018). These competing perspectives provide an interesting lens through which to view food sustainable behaviour, suggesting that there is still no clear answer as to how religious versus nonreligious consumers will see food sustainability.

Consumers of Muslim society ruled by Islamic norms that provide direction in their everyday life. The concept of moderation is emphasized and serves as guidance for Muslims to spend money on food consumption. Pakistan, with its Muslim-dominated population, has different religious beliefs compared to the dominant religious beliefs in the Western part of the world.

Accordingly, the aim of this research is to provide deeper insight how religion may influence participation in sustainable meat consumption. Prior research has not paid enough attention to this topic, despite religion being one of many consumers' most important values. In view of that, the purpose of this paper is to propose and validate a model of Sustainable Meat Consumption Consumer Intention (SMCCI) related to the curtailment of meat in diet or the purchase of high-quality organic

meat. This model incorporates the moderating effect of religiosity. This study intends to extend the existing body of literature on sustainable purchase intention by adding an explanation of relatively new scale of Sustainable Meat Consumption Consumer Intention, *i.e*. SMCCI; and identify how religious (or non- religious) belief help to builds a positive attitude towards sustainable meat consumption (*i.e.* meat reduced diet or organic meat).

LITERATURE REVIEW

Values are the guiding principles that followed by the individuals to handle situations in fact one's judgement about right and wrong or what "ought" to be. While attitudes are specifically related to the personal assessment about somebody, physical object and an event (Rokeach, 1973). According to the Value Attitude Behaviour hierarchy (Homer & Kahle, 1988) consumer values influence the creation of attitudes that then lead to behaviours. One of the most enduring and wide-reaching values is a religion that influences consumers' attitudes and behaviours in the marketplace (Bukhari et al., 2018; Raggiotto et al., 2018). Similarly, Value Belief Norm Theory(Stern, 2000) describes that core values influence beliefs (similar to the attitude component of the value attitude-behaviour hierarchy), and these beliefs then influence societal norms of behaviour (E. A. Minton et al., 2018).

Therefore, current study specifically focuses on the altruistic and egoistic values that underpin attitudes that lead towards sustainable meat consumption. The word 'altruistic' describes the situation under which the individuals' act on others' behalf without expecting any kind of personal benefits (E. Schwartz & Baehner, 1968; S. Schwartz, 1977). In the contrary, the term 'egoistic' means acting on behalf of oneself or removing the suffering and harm of oneself, i.e. personal benefits (Kollmuss & Agyeman, 2002). Research has considered both values as being relevant to meat consumption: individuals show their concern towards themselves (meat-reduced diet or organic meat is considered as a healthier option than traditional meat) as well as toward the environmental protection. Therefore, there is a possibility that conflict may arise between individuals' altruistic and egoistic motives while buying organic food products(Yadav, 2016). The ethical behavioural literature

relating to altruistic and egoistic motives has given mixed results regarding its influence on consumer's sustainable food purchase intention and behaviour. Some researchers stated that altruistic motives (such as concern for the environment and animal welfare, etc.) play the most significant role in determining the consumer attitude and behaviour intention towards organic food consumption (Durham & Andrade, 2005; Shin et al., 2017). Additionally, in contrast, some researchers stated in their findings that egoistic motives (health concern) might better predict the consumer's intention to buy more sustainable organic food than the altruistic values(K Magnusson, Arvola, Hursti, Åberg, & Sjödén, 2003). Therefore, the present research attempts to identify the motive (egoistic/ altruistic) which determines the attitude towards Sustainable Meat Consumption Consumer Intention in Pakistan.

Egoistic values

Egoistic values refer to "concern for oneself in relation to the environment"(Swami, Chamorro-Premzic, Snelgar, & Furnham, 2010) and emphasize the importance of personal gains over larger social or environmental interests. The health concern among individual shows the pro-self (concern for self or to their family) concept, so it can be understood as egoistic in nature (Magnusson, Arvola, Hursti, Åberg, & Sjödén, 2003). In comparison to the conventional food, the organic food is perceived to be healthier and having a higher nutritional value (Grankvist & Biel, 2001; Lea & Worsley, 2005), as its production does not involve the use of any harmful chemical fertilizers (Pino, Peluso, & Guido, 2012). Health-related issues and safety concerns are considered among the main motivating factors while purchasing organic food (Hwang, 2016; Irene Goetzke & Spiller, 2014). More specifically, the desire for good health and well-being is the driver of food markets. A growing body of organic food consumption literature suggests that health concern and issues related to it are among important drivers for developing a positive attitude (Krystallis & Chryssohoidis, 2005; Padel & Foster, 2005; Smith & Paladino, 2010) and intention towards organic food consumption (Kareklas, Carlson, & Muehling, 2014).

In addition to personal health concerns, another egoistic factor that influence consumers' purchase intentions is the price premium of organic meat. Compared to conventional food, organic food products often costly as they are produced using more costly agrochemicals, as opposed to cheaper but potentially more harmful chemical fertilizers and herbicides (Kareklas et al., 2014). Similarly, animals who raised free from any special growth hormones or medicines to grow fast provide organic meat. Previous research declares that health-conscious consumers avoid buying organic food articles because they cannot afford high prices (Magnusson et al., 2003; Zanoli & Naspetti, 2002). Recently a study found that in a current economic scenario, consumers are more frugal, and their "heart may be green", but the pocket says otherwise (Carrete, Castaño, Felix, Centeno, & González, 2012).

Therefore, current study proposes that consumer under the influence of egoistic values represents an attitude towards sustainable meat consumption intention for their health concern. For precautionary measure, they reduce their meat intake or move towards organic meat.

Following Hypothesis are developed on the basis of literature:

H1: Egoistic value positively influences pro-environmental Attitude

H1a: Egoistic values have an effect on Sustainable Meat Consumption Consumer Intention (SMCCI)

Altruistic Values

The concept of altruistic values originates from S. Schwartz (1977) Norm Activation Model of Altruism that explains altruistic values as individuals' concern for other people in routine behaviours and more specifically in relation to the environment. Environmental concern can be understood as altruistic in nature, as the individual performs these behaviours of protecting the natural environment with little thoughts of benefits for themselves (Tanner & Wölfing Kast, 2003). Environmental concern among individual's links with the altruistic value of consumers or with their altruistic purchase

considerations, as consumers reduce meat from their plate or prefer only organic meat because it is a sustainable attitude. Choosing organic food products over processed traditional food shows their concern for others and the common good (Kareklas et al., 2014; Thøgersen, 2011). Environmental concern indicates "the degree to which people are aware of problems regarding the environment and support efforts to solve them or indicate the willingness to contribute personally to their solution" (Dunlap & Jones, 2002). Smith and Paladino (2010) report a significant impact of environmental concern on consumers' attitude towards buying organic food, which further influences their purchase intention. Environmental concern among individuals' increases the likelihood that they will purchase organic food (Loureiro, McCluskey, & Mittelhammer, 2001).

Hwang (2016) also reported that increased environmental concern in society is responsible for consumption of organic food, as it is known as environmentally friendly because no pesticides are used in its production process. The individuals who are willing to engage themselves in eco-friendly activities are more likely to purchase organic food products in the near future (Smith & Paladino, 2010). Altruistic (environmental concern) values (health concern) significantly determine the youth attitude and intention of buying organic food (Yadav, 2016). Another study shows the opposite result, that altruistic values are negatively associated with eco-socially conscious consumer behaviour while purchasing automobiles (Saleem, Eagle, Yaseen, & Low, 2018).

Therefore, we purpose the following hypothesis:

H2: Altruistic values positively influences pro-environmental Attitude.

H2a: Altruistic values influence SMCCI.

Influence of Religiosity on environmental values that leads towards sustainability

Religiosity is defined as the individual's belief in God, and the commitment to behave and act in accordance to the principles, which are believed to be set by God (R. Weaver & Agle, 2002). And

more than two-thirds of world's population consider their religions to be important in their daily lives (Biswas-Diener, Kashdan, & Minhas, 2011).

Religion is the main source of one's attitudes, perceptions and actions (Amine & Hendaoui Ben Tanfous, 2012). Religious values influence one's personality intensely; even they also have a track record of transforming societies and influencing behaviour (Ghazali, Mutum, & Ariswibowo, 2018). Consumer behaviours, such as information seeking and product innovativeness influence from religious beliefs (Mathras, Cohen, Mandel, & Mick, 2016). Choi (2010) stated that the convergence of religion and consumer behaviour is now emerging and the literature on this field is relatively new. Religious values are one of the deepest rooted, broad-reaching set of values that a consumer can have that influence consumption and non-consumption behaviour alike (Kahle, Minton, Jiuan, & Tambyah, 2016; Mathras et al., 2016). Prior research shows that religiosity can influence one's mindset as being more prevention or promotion focused (Nelson, Rosenfeld, Breitbart, & Galietta, 2002). Understanding a consumer's values, such as religion, and their influence on sustainable consumption of related products and services. It is very critical to understand for marketing plans of businesses, organizations, and policy makers to promote sustainable practices (E. A. Minton et al., 2018).

A growing body of research shows that consumers' religious beliefs influence a wide variety of marketing activities (Mathras et al., 2016), including advertising (E. A. Minton & Cornwell, 2016), branding/retail evaluations(Tang & Li, 2015), consumer choice(Choi, 2010), company attributions (Minton, 2016) and sustainable consumption (E. A. Minton et al., 2018). Sustainable consumption is described as "the consumption of goods and services that satisfies the needs of the present generations without compromising the needs of future ones" (Thompson, Anderson, Hansen, & Kahle, 2009). Core religious values build attitudes and resulting sustainable actions (Leary, Minton, & Mittelstaedt, 2016; E. A. Minton, 2016). Moreover, religious consumers would be more sustainable than non-religious consumers (Leary et al., 2016; E. A. Minton & Cornwell, 2016; E. A. Minton et al., 2018).

A separate body of research showing the opposite pattern of effects with religious consumers being less sustainable than nonreligious consumers (J. Wolkomir et al., 1997; E. Minton & Kahle, 2014).

Different religious faiths provide different prescriptions and indications regarding food consumption (Raggiotto et al., 2018). Recent evidence suggests that individual consumption and production patterns of meat products strongly regulated by religious beliefs (Heiman, Gordon, & Zilberman, 2017). For instance, Kosher rules (for Judaism) as well as Halal rules (for Islam) shape consumption and distribution of meat (Heiman et al., 2017). Religious values influence attitudes and sustainable consumption. A recent study reported that individual thoughts related to God's connection with nature or caring for earth and other creature of gods (i.e. animal welfare or human being's health) is help religious consumer towards sustainable consumption (E. A. Minton et al., 2018). Another research validates that religiosity varies from consumer to consumer, and subsequently, has a varying effect on Pakistani Muslim's purchase behaviour.

To examine the relationship between religion and consumer's attitude towards SMCCI, this research adds religiosity as a moderator in the theoretical framework: It can be hypothesised as:

H3a: Religiosity moderates the relationship between Egoistic values and Pro-environmental Attitude towards SMCCI.

H3b: Religiosity moderates the relationship between Altruistic values and Pro-environmental Attitude towards SMCCI.

Pro-environmental Attitude:

A psychological tendency that is expressed by assessing a certain object with some degree of favour or disfavour is called an "attitude" (Eagly & Chaiken, 1993). Attitudes toward a certain object or action manifest on a positive or negative continuum based on a person's evaluation of it (Leiserowitz, Kates, & Parris, 2006). In a similar vein, attitudes toward the environment are also depicted as a psychological inclination to appraise environmental issues and to disclose the

evaluations on the issues with some degree of favour (Milfont & Duckitt, 2010). More specifically, a person with a pro-environmental attitude is worried about the ecosystem and aims to behave in a way not to harm the environment (Steg & Vlek, 2009). In this regard, a person's pro-environmental attitude can drive his/her behaviours of purchasing green or organic products. Pro-environmental attitudes have appeared to be a critical antecedent of pro-environmental behaviours and behavioural intentions (Kang, Stein, Heo, & Lee, 2012; Lee & Jan, 2015; Nguyen, Lobo, & Greenland, 2017). Past studies suggested that consumers' attitude toward environmentally friendly products partly play a mediating role in the relationship between pro-environmental values and purchase intention (Chou, Chen, & Wang, 2012; Ricci, Banterle, & Stranieri, 2018). Respondents' considerations about environment pollution and/or deforestation can lead a higher probability of attitude towards purchasing green foods (Woo & Kim, 2019).

In this sense, an individual's pro-environmental attitude can be influenced by his/her values of sustainability, which in turn, generates SMCCI. Therefore, based on the above literature review, the following hypothesis is proposed:

H4: Pro-environmental Attitude is positively associated with SMCCI.

The conceptual model of the study is presented in Figure 1

Insert Figure 1 about here

METHODS

Survey instrument

The survey instrument will consist of demographic information and adopted measures of key variables drawn from the literature. Demographic information collected in this study will including age, income, gender, education, locality of the respondent, marital status and family size. Recently,

scholars have argued that socio-demographic variables can assist in the identification of meaningful differentiation between segments in the context of sustainable food choice (Apostolidis & McLeay, 2019). The SMCCI scale will be developed before collecting the data, as it is the value able contribution in literature because it will measure the consumer's sustainable consumption intention towards meat specifically.

Pro-environmental attitude will measure through a five-items scale adapted from previous research(Biswas & Roy, 2015) and measured on a seven-point bipolar scale, religiosity (ten-items) construct will adapt from a study by Koenig and Büssing (2010)measure on 7-point Likert scale. The three-items of Egoistic values (health concern) will be drawn from Tarkiainen and Sundqvist (2009). Altruistic values will be measured by using four-items scale adapted from Roberts and Bacon (1997).

Data collection procedure and Analysis Techniques

Data will be collected through survey method from direct meat consumers. Before final collection of data for analysis, a pilot study will be conducted to check the understanding of consumer about sustainability of meat questionnaire to increase the content validity of questionnaire.

After the data collection, analyses will conduct through SPSS v. 24.0 and AMOS v. 24.0. First, a measurement model validation will carry out by exploratory and confirmatory factor analyses. After validation of the measurement model, structural model analyses will be conducted through PROCESS Macro (Hayes, 2013).

DISCUSSION

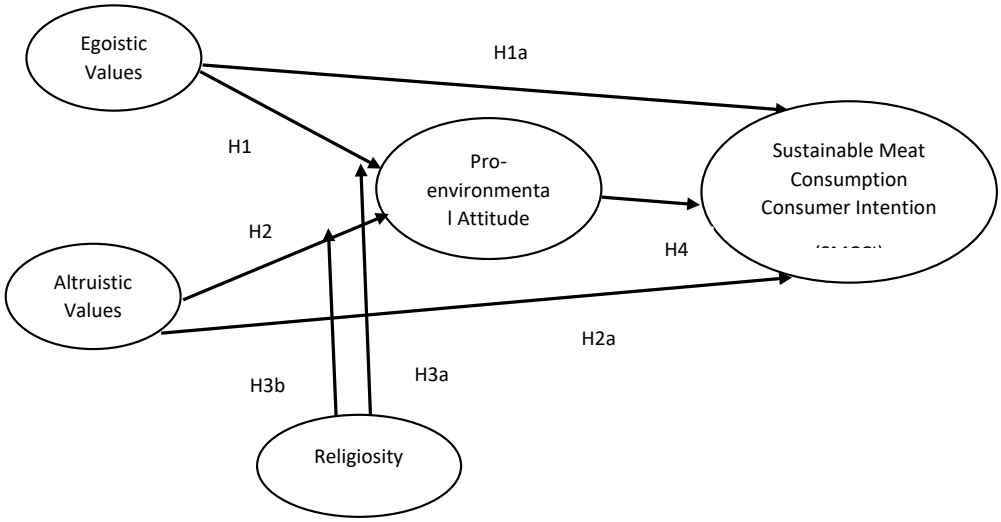
Consumers' dietary habits strongly affect the environment (Mohr & Schlich, 2016; Séré de Lanauze & Siadou-Martin, 2019; Tucker, 2018), production and consumption of meat are particularly more important in this regard (Poore & Nemecek, 2018). Currently, consumers' willingness to reduce their meat consumption is quite low and it is unclear how consumers can best be motivated to reduce

their meat consumption (Hartmann & Siegrist, 2017). This paper aims to provide insights in potential motivations for consumers to sustainable meat consumption, via either curtailment (*i.e*. reducing the amount of meat in meals) or by consuming more quality meat i.e. organic meat or free-range meat.

Food sustainability is a global problem that require the examination of values, which are bounded by religious beliefs (Mathras et al., 2016). A recent research reveals that over 80% of consumers worldwide follow religious belief (PEW, 2017). Pakistan is a muslin country, where religious values build lifestyle of a person that depicts in his everyday activities. Although Pakistan is a Muslim state, but there exists a heterogeneity in their religious belief, some practice religion strictly, while others are more flexible.

Therefore, the current study will contribute in the literature to identify the effects of religiosity (may disrupt or enhance) on the relationship between environmental values that may or may not motivate consumers to cultivate their attitude towards sustainable meat consumption, and to compares the values - egoistic or altruistic -, which effect most towards sustainable meat consumption intention. The study will be conducted in Pakistan (an emerging Asian country); where the meat consumption has growing rapidly from 12 kg in 2000 per capita to 32 kg in 2016. It will be projected to 47 kg by 2020 (Haq, 2018), This report is published by the United States National Library of Medicines at the National Institutes of Health (OECD, 2018). The current study will also try to contribute to filling the current knowledge gap of how consumers in non-Western countries can be motivated toward sustainable meat consumption (Hartmann & Siegrist, 2017; Taufik, 2018) under the light of religious beliefs.

Figure 1: Conceptual Framework



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08. Management Education, Learning and Teaching

Refereed Delivered Session

Transitioning in and out of university: Student psychological distress and resilience

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ABSTRACT:

The incidence of mental health disorders among university students is concerning, with stress particularly high during the transition years when students are either commencing or completing their degrees. This study uses resilience theory as a lens to examine student mental health during times of transition. A survey of 383 students revealed that both first and final year students exhibited similar levels of psychological distress, with one quarter of all students in the abnormal range. Hierarchical regression analyses showed that at both transitional phases, resilience predicted better mental health outcomes, but different resilience protective factors were important at each transition point. Recommendations are made for tertiary educators for embedding activities into the academic curriculum to strengthen students' resilience and improve their mental health outcomes.

Keywords: psychological distress, mental health, resilience, transition, university students

08. Management Education, Learning and Teaching

Refereed Delivered Session

There is growing concern around the world about the increasing incidence of distress and poor mental health among higher education students (Regehr, Glancy, & Pitts, 2013), with university students displaying concerning rates of depression, anxiety and substance abuse (Veness, 2016). The stress of studying at university is compounded by the normal developmental stresses of transitioning into adulthood during the ages of 18-25 years. Young adulthood is typically a stressful life stage involving the attainment of increasing levels of psychological, relational, lifestyle and financial independence (Casey, 2013; Corathers et al., 2017). In the general Australian population, this age group experiences the highest incidence of emotional disturbance with over one quarter (26 per cent) of 18-25 year olds experiencing some form of mental health issues (McGorry, 2016). Some studies report that the mental health of tertiary students of this age is markedly worse than their non-university peers (Larcombe et al., 2016), with one Australian study of over 6,000 university students finding that 30% experienced symptoms of at least one type of mental disorder (Said, Kypri, & Bowman, 2013).

During undergraduate higher education studies, stress is particularly high at the transitional phases of university, where students face unfamiliar environments which create a greater risk of emotional disturbance, namely, the inbound first year of entry (Catterall, Davis, & Yang, 2014; DeRosier, Frank, Schwartz, & Leary, 2013; Wyatt, Oswalt, & Ochoa, 2017) and the outbound period in the final year as students prepare to enter the workforce (Bewick, Koutsopoulou, Slaad, & Barkham; Turner et al., 2017). Failure to successfully negotiate and adjust to new environments can impact on students' subsequent academic performance (Martin, 2002) and often influence their continuation at university (Andrews & Wilding, 2004).

Transitional changes present challenges which place pressures on students to adapt to their new circumstances and therefore produce stress. Transition necessitates "the capacity to navigate change" (Gale & Parker, 2014: 5) and encompasses the processes of induction, transformation, and becoming. This associated stress may result in good or poor adaptation, which can exert both short and long term effects on students' self- esteem, mental health, and career trajectory. There is diversity in the way

students experience these transitions, with some navigating the challenges better than others. Although the transition to from high school to university has been studied (e.g., Catterall et al., 2014; Brandy, Penckofer, Solari-Twadell, & Velsor-Friedrich, 2015; Rubin, Evans, & Wilkinson, 2016; Wyatt et al., 2017), less is known about the final year of university (Gale & Parker, 2011), as students prepare to enter the professional workforce. In addition, many studies of student transitions in higher education have focused on health and law (Larcombe et al., 2016), whereas disciplines such as business, the social sciences and the built environment have been relatively neglected (Gale & Parker, 2011). The current study responds to Gale and Parker's (2011) call to broaden the scope of research on transitions by investigating built environment disciplines and also by adopting a longitudinal focus that incorporates both the first and final years of three undergraduate degrees.

Much of the research on university transitions has adopted a risk-based, deficit approach which documents the causes and results of student stress (e.g., Said et al., 2013; Larcombe et al., 2016). There are fewer studies that explore protective factors which can buffer the environmental stress, indicating that this important topic requires further in-depth examination (Anasuri &Anthony, 2018). In response to the growing level of student mental ill-health, this current study shifts from a deficit perspective to adopt an upstream preventative and health promotion focus as advocated by the World Health Organisation (WHO) (2017).

The current study adopts a strengths-based approach using resilience theory, which focuses on a strengths-based approach (Masten, 2001), to explore whether there are protective factors in the transitioning students' environment in terms of attitudes, life style and support networks which can act as a buffer against stress at these two particularly stressful undergraduate transitional phases. Such a focus aims to equip and empower educators to develop contextually relevant pedagogical resources to enable students to "increase control over, and improve their health" (WHO, 2017).

Resilience has been identified as a valuable competence for handling stressful circumstances brought about by transitions across life stages (Tusaie and Dyer, 2004). Resilience has been defined as "the process of negotiating, managing, and adapting to significant sources of stress or trauma. Assets and resources within an individual, their life and environment facilitate his/her capacity for adaptation and 'bouncing back' in the face of adversity" (Windle, 2011: 152). Given the growing levels of

student mental health issues, the study of resilience research is increasing in university settings (Loh, Schutte, & Thorsteinsson, 2014; McGillivray & Pidgeon, 2015; Turner et al., 2017).

Protective resilience-building practices

There is a growing recognition that resilience is a critical protective set of behaviours and attitudes that can assist students both in their transition into university (DeRosier et al., 2013) and later as they prepare to enter professional work (Candy & Crebert, 1991). Winwood, Colon and McEwen (2013) identified seven resilience-related protective factors that are associated with a decreased likely of problematic outcomes when individual are exposed to shocks, stressors or changes: living authentically true to one's values; finding one's calling in life; the ability to maintain perspective; knowing techniques for managing stress; interacting cooperatively; staying healthy; and the capacity to build and maintain support networks. These protective factors are resources that have been found to foster resilience in stressful environments. Similarly, some of these resources are positively related to mental health. For example, physical activity (Kwan, Bedard, King-Dowling, Wellman, & Cairney, 2016; Lathia, Sandstrom, Mascolo, & Rentfrow, 2017), social support (Juang, Ittel, Hoferichter, & Gallarin, 2016) and social contact with university peers (Rubin et al., 2016) have all been found to predict wellbeing and good mental health. Individuals with high levels of resilience are likely to possess these protective practices that bolster their endurance and adaptability when dealing with adverse circumstances.

Since some researchers argue that resilience can be learned and developed (McAllister & McKinnon, 2009; Winwood et al., 2013), universities have the unique capacity to impact student resilience and mental health by preparing students for high stress situations. Resilience offers a positive model for understanding how university students can be guided to build stress protective attitudes and behaviour patterns into their lives (Zolkoski & Bullock, 2012) that can help them better manage periods of transition and stress (Rahat & Illhan, 2016). As such, resilience can contribute to students' mental health and well-being (Dunn, Iglewicz, & Moutier, 2008; Turner et al., 2017). Moreover, resilience also supports academic engagement and success by bolstering students' ability to handle study setbacks and stressors (Martin, 2002).

Resilience is a process that is learned over time (Weststrate & Gluck, 2017) and can be intentionally developed through carefully targeted initiatives (McAllister & McKinnon, 2009; Fletcher & Sarkar, 2013). The ability to cope with stressors is influenced by how well individuals can draw upon useful repertoires of coping behaviours (Winwood et al., 2013) and can access supportive resources in their environment (Cagney, Sterret, Benz, & Tompson, 2016). Through successfully withstanding or recovering from previous stressful experiences, individuals gradually learn coping behaviours that protect them during future shocks or stressors (Pushnik & Harfield, 2016), help them to persist in times of adversity and bolster their mental health and wellbeing (Tugade & Fredrickson, 2011).

This study extends the literature on student resilience by investigating the nature and impact of resilience on mental health during transitional stages at university, answering Hartley's (2013) call for more research on resilience and student wellbeing, and Gale and Parker's (2011) observation about the need to study later transition periods. Two main research questions about student resilience are explored in the context of these two important transitional stages, the first and final years of the university degree:

1. What is the prevalence of psychological distress in undergraduate students in their transitional years?
2. What is the relationship between resilience and undergraduate students' mental health at each transitional phase?

The remainder of the paper will describe the methodology and data analysis, discuss the findings, and provide suggestions for future research and practical applications in the higher education context.

The strengths-based conceptualisation posits that resilience is made up of a set of protective factors such as competencies, self-attitudes, behaviours and relationships that the individual can draw on in times of stress (Garmezy, 1991) that protect against risk and promote well-being (Loh et al., 2014).

METHOD

Sample

The sample consisted of undergraduate students studying a four-year Honours degree in three different disciplines (Project Management, Construction, and Property Management) in a Built

Environment school in a large metropolitan Australian university. Data was collected using a 15 minute pen and paper survey as part of a class exercise in first and fourth year cohorts to include students from all three disciplines. Participation in the research project was voluntary and 90% of those who completed the survey elected to participate by placing their anonymous survey in the collection box. The resulting sample of 383 undergraduates included 201 first year students and 183 fourth (final) year students.

Measures

Psychological distress The shortened 21-item self-report form (DASS-21) of Lovibond & Lovibond's (1995) Depression, Anxiety and Stress Scale was used to measure student psychological distress. This valid and reliable scale consists of three 7-item subscales (Depression, Anxiety, and Stress) using a 4-point Likert scale response format, with higher scores reflecting a higher level of depression, anxiety and stress. The items from each of the three subscales were aggregated to form a single composite measure of general psychological distress. The resulting scale demonstrated robust reliability of 0.93.

Resilience The 20–item Resilience at University Scale (Turner et al., 2017) was used. This scale is an adapted form of Winwood et al.'s (2013) Resilience at Work (RAW) scale, which identifies seven subscales of protective behaviours: (1) Living Authentically (three items); (2) Finding Your Calling (four items); (3) Maintaining Perspective (three items); (4) Managing Stress (four items); (5) Interacting Cooperatively (two items); (6) Staying Healthy (two items) and (7) Building Networks (two items). Examples of the items include: "The university work that I do fits well with my personal values and beliefs' (Living Authentically) and 'I have a strong and reliable network of supportive students at university' (Building Networks). Participants were asked to indicate their agreement with the items on a seven-point Likert scale from 'strongly disagree' (0) to 'strongly agree' (6). Confirmatory factor analysis revealed that the two items of the Interacting Co-operatively subscale cross-loaded on other factors so this subscale was not included in the subsequent analyses. The Cronbach's alpha values for all remaining subscales were in excess of .70, indicating that they demonstrated satisfactory reliability.

Control variables

Past research has found that demographic characteristics, including gender (Calagulas, 2011; Said et al., 2013) and international status (Khawaja & Stallman, 2011; Juang et al., 2016) can impact mental health and resilience (Fergus & Zimmerman, 2005), therefore this study controlled for both characteristics. Survey participants were asked to specify their sex and to indicate whether they were an international or local student.

RESULTS

Demographics

The sample contained a majority of males, which is reflective of Science Technology Engineering and Mathematics (STEM) degrees of this type. Females made up only 24.7% of the first year cohort and 19.1% of the final year students. International students made up 20.4% of the first year and 15.3% of the final year participants. The majority of each cohort (68.2% of first year and 76.5% of final year students) worked part-time while studying. Students in their final year worked longer, with 49.2% working 20 hours or more, compared to only 21.2% of first year students.

Levels of psychological distress and resilience

Independent sample t-tests were conducted to compare the mental health of the two cohorts.

Psychological distress First year students experienced slightly greater overall psychological distress (M = 11.92, SD = 10.69) than final year students (M = 11.36, SD = 10.08), but the difference in means was not statistically significant. Although there was no difference in physiological distress between males and females in the first year participants, females experienced greater psychological distress (M = 10.51, SD = 9.49) than males (M = 15.17, SD = 11.84) in the final year cohort (M diff = -4.66, $t = -2.34$, $p < .02$). An opposite effective was evident for international students. First year international students (M = 15.14, SD =12.10) experienced more psychological distress (M diff = -4.56, $t = -.2.21$, $p < .03$) than first year local students (M = 10.58, SD = 9.48), but there was no significant difference in the final year cohort.

Resilience The resilience profiles of the first and final year-level samples each showed statistically significant mean differences for four of the six resilience protective factors. Final year students demonstrated higher levels of competence on three of these four factors (building networks, managing

stress, and living authentically). Building networks showed the largest mean difference (M diff = -0.43, t = -3.06, p < .002) between the first (M = 4.07, SD = 1.45) and the final year (M = 4.50, SD = 1.25) samples, with final year students showing greater competence. The next highest mean difference between samples was for managing stress (M diff = -0.26, t = -2.34, p < .02), with final year students (M = 4.12, SD = 1.18) demonstrating statistically significant greater ability to manage stress than first year students (M = 3.86, SD = 1.01). Another statistically significant mean difference (M diff = -0.17, t = -2.26, p < .02) occurred for living authentically between the first (M = 4.12, SD = 0.72) and final year students' scores (M = 4.29, SD = 0.79), with final year students again demonstrating greater competence. Compared to final year students (M = 3.64, SD = 1.18), first year students (M = 3.84, SD = 1.14) showed a higher mean level for only one of the resilience protective factors, maintaining perspective (M diff = 0.20, t = 1.68, p < .09), but this difference was only significant at the 10% level.

Relationship between resilience and psychological distress

A two-step hierarchical regression analysis was conducted for each year level sample to assess the ability of the seven resilience protective factors (Resilience at University) scale) to predict levels of psychological distress (DASS Scale), controlling for the effects of gender and student country of origin (international or local). Preliminary analyses revealed there were no violations of the assumptions of normality, linearity, multicollinearity and homoscedasticity for either sample. The regression models for the first and final year student samples are reported in Table 1.

Insert Table 1 about here

First year students After controlling for gender and international status in Step 1, the combined resilience predictor variables entered in Step 2 explained 26% of the variance in psychological distress (AR^2 = .26, F = 9.26, p < .000, df = 8, 179) in the first year student sample. Maintaining perspective (β = -.25, p < .000) and building networks (β = -.21, p < .000) both exerted a statistically significant impact upon the variance in psychological distress. The standardised beta (β) for each variable provides a measure of the contribution which that variable makes to the model. Maintaining perspective (β = -.25, p < .000) explained the most variance in psychological distress, followed by

building networks (β = -.21, p < .000). The negative relationship indicates that higher scores on maintaining perspective and building networks were associated with lower levels of psychological distress and therefore by inference, greater levels of positive mental health and wellbeing.

Final year students In the final year student model, the control variables and the resilience predictor variables explained a marginally larger proportion of the variance (33%) in psychological distress (AR^2 = .33, F = 10.95, p < .000, df = 8, 148) than they did in the first year model (26%). Staying healthy (β = -.32, p < .000) exerted the largest statistically significant influence upon the variance in psychological distress for final year students. As in the first year model, maintaining perspective (β = -.30, p < .000) was associated with decreased psychological distress. However for final year students, staying healthy displayed a stronger relationship with lower levels of psychological distress than did maintaining perspective. Staying healthy was not statistically significant in the first year model however.

DISCUSSION

The purpose of this study was to explore the mental health and resilience of university students during two major transitional phases; the first year where students commence tertiary study and the final year, where they complete their degrees and prepare to enter the workforce. Although there have been numerous studies of the mental health and resilience of first year students (e.g., Catterall, 2014; DeRosier et al., 2013; Wyatt et al., 2017), there are few studies of final year students (Turner et al., 2017). Although Bewick et al. (2010) studied university student mental health across three years of study, there are no known studies that compare *both* mental health and resilience of *both* first year and final year students.

The first research question examined the level of psychological distress in students studying in transitional years (either first or final) at university. Consistent with previous studies (Catterall et al., 2014), some first year students in this sample exhibited symptoms of relatively high levels of psychological distress. Although the first year students experienced a slightly greater incidence of symptoms of depression, anxiety, stress and overall psychological distress than the final year students, none of these differences was statistically significant. This finding differed from Bewick et al. (2010) who found that the prevalence of psychological distress increased across years of study. Nevertheless,

despite the lack of increase in this current study, it can still be argued that final year students also exhibited high levels of distress, since the level was similar to first year university students who are known to experience relatively high levels of psychological distress and poor mental health (Brandy et al., 2015).

Several vulnerable demographic groups emerged in terms of mental health. First year international students showed greater psychological distress than first year local students, but they did not differ from locals in their final year. This finding is consistent with several other studies (e.g., Khawaja & Stallman, 2011; Juang et al., 2016), but indicates that the mental health of international students can improve over time, possibly due to a gradual adaptation to Australian culture. Females showed a reverse trend; first year female students' mental health did not differ from males', but final year females exhibited significantly worse psychological distress than males, a finding that is consistent with some previous studies (Calagulas, 2011; Said et al., 2013).

There have been relatively few studies that explore the relationship between university student resilience and mental health. The second research question compared this relationship at the two different transition stages, using a new scale of resilience at university (Turner et al., 2017) which measured six resilience-building protective factors (finding your calling, living authentically, building networks, managing stress, maintaining perspective, and staying healthy). Higher levels of overall resilience were related to better levels of mental health, a finding that is consistent with previous studies that used different measures of resilience to the current study (e.g., Stallman, 2011; Madewell & Ponte-Garcia, 2016). However, this study extends existing knowledge by suggesting that resilience is important for lessening psychological distress, not only when students are transitioning into university, but also when they are preparing to transition out of university into the workforce. As both these major transition phases are known as periods of high stress, this current finding emphasises the potential for resilience development interventions to help buffer adverse effects on students' mental health at these two critical stages of university life.

There have been few studies that unpack the specific protective behaviours that enhance student resilience and promote their mental health (Anasuri & Anthony, 2018). This study extends the current

body of knowledge by identifying the specific resilience protective factors which are critical to student mental health when navigating the stressful transition stages of university. While the overall level of resilience did not differ significantly between first and final year students, the profile of protective behaviours showed both similarities and differences for each of these groups. For both transition stages, the ability to maintain perspective in times of adversity was associated with good mental health. Educators can assist students to maintain perspective by reframing stressors as positive opportunities for growth and learning rather than as negative stresses and threats (Dweck, 2012).

Differences were also found between the protective profiles of the two transitional cohorts. For first year students, finding their calling was related to lower levels of psychological distress, but not for final year students. Often students enter university uncertain of which career they truly wish to pursue, which can cause confusion, anxiety and stress. In this study, first year students who have a clear sense of their career path exhibit better mental health. This finding suggests that upon transition, first year students need to be introduced early to courses related to their chosen career path and be encouraged to reflect upon the goodness of fit with their own wants and values. Early detection of potential mismatches can lead to subsequent careers counselling which is likely to minimize both psychological distress and the switching costs of changing fields of study.

First year students also showed less ability to manage stress than final year students, indicating that the early introduction of stress management techniques like mindfulness, breathing control and relaxation practices would be helpful. Attention to stress management can also be emphasised in the students' final year of study as it is known to be strongly related to good mental health (Winwood et al., 2013). The pressures of completing their final year with good grades and of seeking employment opportunities requires a good ability to manage stress if mental health is to be maintained at healthy levels. For first year students, competence in building networks was also associated with improved mental health, confirming the important protective value of social support found in other studies of university students (Juand et al., 2016; Rubin et al., 2016; Ansuri & Anthony, 2018). Werner (1992) also states that resilience is linked to peer relationships and collaboration. Hence, first year university students need to be alerted to this resilience-building protective practice as soon as they enter their

degrees. Educators can assist by the early introduction of group work projects to help to facilitate collaborative interactions and promote the swift building of peer networks.

For final year students, living authentically was also of great importance to their mental wellbeing. By the final year of their degree, many of the students in the sample were working part-time in their chosen field. This work experience is likely to affirm to students that they have selected a career that is a good fit with their values, bringing peace of mind and less stress. For final year students, engaging in physical activity (Kwan et al., 2016; Lathia et al., 2017) and eating a healthy diet (Winwood et al., 2013) were both complementary protective resilience-building practices that assisted with stress management. Although staying physically healthy and active was important at both transitional stages, it appeared to become more important over time, and exerted the largest influence in mitigating final year students' psychological distress. This result is consistent with DeRosier, Scheartz, and Leary's (2013) finding that individuals who engage in healthy behaviours such as exercise during times of high stress experienced positive impacts such as stress reduction and increased cognitive and emotional health. Winwood and colleagues (2013) identified physical health was associated high resilience with enhanced recovery from work fatigue. Educating students about the importance of physical activity, not just for physical fitness reasons, but for resilience-building and for mental health benefits will better prepare them for coping with stressful transitions.

Limitations and future research

This research was conducted using self-report measures which although common practice in psychological studies of this nature, is likely to lead to stronger correlations due to common method bias. Future research could adopt alternative external measures such as lecturers' assessment of students' mental health and coping. Furthermore, inclusion of students' grade point average would enable researchers to explore the link between resilience, mental health, and subsequent academic success. Another limitation is the cross-sectional nature of this study's design. It is recommended that future research adopt a longitudinal design that follows the same students across the entire life cycle of a degree.

CONCLUSION

For students who commence university in their young adulthood (aged 18-24), tertiary studies coincide with a highly stressful developmental stage; the transition into adulthood. University study, particularly in the first and final transition years, is known to be stressful in its own right, often contributing to a decline in student mental health. Fostering resilience is therefore critical for the wellbeing and mental health of young people who are especially vulnerable at these challenging times of transition. Educators are in a prime position to support young students by providing them with the knowledge and resources to build-up the practice of protective behaviours which bolster their resilience. As resilience is not a fixed trait and therefore can be taught (McAllister & McKinnon, 2009), universities can provide training in resilience to better prepare students for high stress situations. The development of student resilience will increase the likelihood of positive academic and employment outcomes. Resilience is therefore a key skill to be proactively developed and reinforced throughout the entire university curriculum (Grant & Kinman, 2013; Stallman, 2011). This can be achieved through a planned implementation and evaluation of targeted strategies to build the protective assets and resources necessary for bolstering student resilience, especially during the stressful transition years.

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TABLE

Table 1 Hierarchical regression psychological distress and resilience protective factors

	First Year			Final Year		
Variable	**B**	**SE**	**β**	**B**	**SE**	**β**
STEP1						
Gender	.65	1.57	.03	4.44	1.97	.18*
International	3.07	1.82	.12	-3.15	2.06	-.12
Adjusted R^2	.01			.04		
F	1.68 n.s.			4.37*		
STEP 2						
Gender				4.85	1.70	.20**
International				-.86	1.80	-.03
Finding Calling	-.06	.83	-.01	-.93	.75	-.93
Living Authentically	-.33	1.07	-.02	-.99	1.17	-.78
Managing Stress	-.63	.71	-.06	-.53	.65	-.06
Build Networks	-1.21	.50	-.21**	-.02	.60	-.00
Maintaining Perspective	-2.79	.61	-.25***	-2.49	.59	-.30***
Staying Healthy	-.56	.57	-.09	-2.59	.56	-.32***
F	9.26***			10.95***		
Adjusted R^2	.26			.33		
Change in AR^2	.25			.32		

Significance 2-tailed. *p < .05, **p < .001, ***p < .0001

13. SUSTAINABILITY AND SOCIAL ISSUES IN MANAGEMENT

REFEREED DELIVERED PAPER

At the Interface of Corporate Governance and CSR: Convergence, Complementarity and Contestation

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13. SUSTAINABILITY AND SOCIAL ISSUES IN MANAGEMENT

REFEREED DELIVERED PAPER

ABSTRACT

The following paper investigates the convergence of corporate governance (CG) and corporate social responsibility (CSR) as demonstrated in both a review of the literature and recent developments in the field of practice. Areas of convergence include a shared institutional setting incorporating CSR and CG institutional infrastructure, a contest of shareholder and stakeholder logics, complementary theoretical approaches and disciplinary tributaries that run along institutional lines, and the growing influence of the responsible investment community. A more integrated, coherent and conceptual treatment of the relationship between CG and CSR is called for in order to closely understand the logics at play, as organisations seek to maintain corporate legitimacy through deliberative processes.

Keywords: Corporate social responsibility, corporate governance, stakeholder theory, institutional logics

2

INTRODUCTION

The following paper reviews the convergence of corporate governance (CG) and corporate social responsibility (CSR)[1]. This points to a growing effort to align stakeholder and shareholder interests through collaborative multi-stakeholder processes, driving the emergence of deliberative forms of governance, in order to maintain corporate legitimacy (Dryzek, 2013; Scherer & Seidl, 2013).

Shareholder primacy has continued to prevail within the business models of companies and across the institutional field (Baden & Harwood, 2013; Brown, de Jong, & Levy, 2009b; Moog, Spicer, & Bohm, 2015; Stout, 2012; Willmott & Veldman, 2014). Entrenched beliefs and practices of maximising shareholder value have led to the unintended consequences of "an inappropriate focus on the short-term, potentially (and paradoxically) sub-optimal returns to shareholders, excessive executive pay and a range of negative social and environmental externalities" (Frank Bold, 2014: 2/5).

An increasing number of the proponents of CSR initiatives identify a lack of engagement at the most senior levels of the corporate entity, the board of directors, together with the business institutions representing them, and their systems of CG (Black Sun 2012; Escudero, Power, Waddock, Beamish, & Cruse 2010; Kiron et al., 2015; UN Global Compact Lead, 2012). Similarly, academics are identifying a continuing dominant market logic (Bondy, Moon, & Matten, 2012; Joseph, Ocasio & McDonnell, 2014) and the "co-opting of an ethical concept by economic interests" (Baden & Harwood, 2013: 615; Scherer, 2018). Similarly, the purpose of CSR is seen to benefit the firm primarily and, in the worst case, at the expense of society (Mazutis & Slawinski, 2015).

In response, recent international collaborative efforts from across the institutional field are challenging the norm of shareholder primacy and reconsidering the purpose of the corporation (Eccles

[1] . For the purposes of this paper, in examining the intersection of CSR and CG, CSR is used as an umbrella term (Matten & Moon, 2008), encompassing both corporate responsibility and sustainability.

& Youmans, 2016; Wilmott & Veldham, 2014). A growing interest at the interface of CG and CSR is underway. As noted by Eccles in the mainstream business media:

> Until recently there have been two separate worlds. There are experts in the fields of corporate governance, those who focus on compensation and other boardroom issues - and there has been the sustainability universe, which includes investors. Now we are beginning to see a convergence. (Medland, 2014: para 1)

The field of CG is converging with that of CSR, albeit by different disciplinary routes, towards a re-assessment of the purpose of the corporation or, put more broadly, the role of business in society (Stout 2012; Willmott & Veldman, 2014). Collectively, a new global dialogue is growing around businesses' activities in recognition of the fact that corporations have grown to become one of the most dominant institutional forms. Approximately half of the world's one hundred largest economies are global corporations who are able to use their economic power to influence other actors' interests (Jensen & Sandström, 2011). This convergence is represented in the field by the coming together of interests and institutional arrangements of actors from CG with those from corporate reporting, sustainability initiatives and, increasingly, responsible investment. Pressing commentary from stakeholders across institutional settings and networks, involving business, investors, civil society and academia is now taking place.

Table 1 summarises key areas of convergence at the CG/CSR interface. The paper commences with a consideration of the shared challenges that both fields currently navigate which point to tensions between shareholder and stakeholder logics. Complementary theoretical approaches and a convergence of different disciplinary backgrounds serve to inform an investigation of the CG/CSR interface. The second half of the paper reviews the field of practice to reveal a new generation of institutional infrastructure, encompassing CG, responsible investment, corporate reporting and corporate sustainability initiatives around shared interests such as long-term value creation, stakeholder dialogue and board engagement. The paper concludes with a consideration of the findings at the CG/CSR interface both from the literature and the field of practice and their implications in the pursuit of corporate legitimacy (Dryzek, 2013; Scherer & Seidl, 2013).

Insert Table 1 about here

SHARED CHALLENGES AT THE CG/CSR INTERFACE

A Transformational CSR Institutional Infrastructure

CSR and CG share a range of challenges in the field of practice. For CSR proponents, these include the continuing challenge of engaging boards of directors in CSR initiatives (Kiron et al., 2015), an ongoing instrumental interpretation of CSR where the economic is prioritised over social and environmental dimensions (Baden & Harwood, 2013), and ongoing tensions and trade-offs implicit in aligning financial outcomes with environmental and social issues (Van der Byl & Slawinski, 2015). In the literature, Waddock located the CSR field of practice in a "CSR institutional infrastructure" (2008a). Less theoretical than descriptive, Waddock envisioned this infrastructure as classified broadly into three categories: market/business based institutions; civil society initiatives and state/government efforts, reflecting the traditional triangular corporation-society paradigm (Preston, 1975). Waddock (2008a) had described the activity of CSR institutions as "collectively framing a different kind of logic"—a broader, multi-stakeholder position using "peer pressure, moral suasion, reputational leverage, market-based dynamics, and state-based legislative and regulatory approaches" (Waddock, 2008a: 89). In some cases, this activity has led to legal requirements, particularly in regard to disclosure, for instance the European Commission directive on disclosure of non-financial and diversity information by large companies (European Commission, 2014).

Yet missing from many CSR initiatives has been the inclusion of the governance structures and systems that institutionalise CSR at the level of the corporation (De Graaf & Stoelhorst, 2009). In the face of a continuing dominant market logic (Bondy et al., 2012) the CSR institutional infrastructure been undergoing a transformation with emergent collaborations of networks and partnerships of private actors, civil society, multilateral institutions and others in a series of "interpenetrating social systems" (Albareda & Waddock, 2016; Post, 2015: 137). CSR initiatives now serve cross-cutting issues and multiple purposes (Grayson & Nelson, 2013; Maon, Swaen, &

Lindgreen, 2017). They work towards change from within the economic system and are driven by demands for greater transparency, accountability, responsibility and sustainability (Grayson & Nelson, 2013; Leipziger, 2015).

The Purpose of the Corporation Revisited

Simultaneously there has been a perceived failing of CG, with for example the corporate collapses associated with the global financial crisis (Ryan, Buchholtz & Kolb, 2010). Lazonick et al. (2016) trace the shift from the corporation as a social organisation where shareholders had come to play a peripheral role, to the dominant neo-classical theory of the market economy. The corporation came to be viewed as a set of voluntary contracts; market-based financial metrics driving corporate strategy with shareholders cast as the only risk-bearers. This trajectory has led to the triumph of the ideology of maximising shareholder value (MSV), where executive pay is tied to share prices, thereby inducing executives to allocate corporate resources accordingly. Consequences of this trajectory include:

- Short-termism with a focus on immediate market metrics leading to a reduction in time horizons of strategic decision-making and innovation. A shift from "retain and reinvest" to "downsize and distribute" (FrankBold, 2014b: 1-2): redistributing the financial gains to shareholders, thereby hollowing out the corporation.
- Increased within-country income inequalities with a redistribution of income to public shareholders and corporate executives through stock buybacks and increasing executive pay, and a decrease in employment conditions and taxation powers.
- Lack of recognition of risks taken by other stakeholders other than shareholders such as workers and government.

In sum, maximising shareholder value has in fact contributed to economic instability rather than economic efficiency, increasing macro-economic imbalances and the erosion of innovative capability (Frank Bold, 2014b).

The dominance of shareholder primacy and maximising shareholder value has led to calls to address the needs of multiple stakeholders in an overarching system of governance that balances

responsibility of the needs of all stakeholders and addresses the focus on short termism and its consequences (Money & Schepers, 2007). The scope of CG is expanding. Promising collaborations are broadening debate across the CG domain. For instance, the Modern Corporation Project based at the Cass Business School (Willmott & Veldman, 2014), together with the Frank Bold Society (a Brussels based public interest law firm) are collaborating on the Purpose of the Corporation Project (Frank Bold, 2014a), to examine the intersection of CG, financialisation and corporate responsibility, supported by leading international academics. Together they join a growing chorus questioning a 'taken for granted' norm, i.e. that corporations exist principally for maximising shareholder value (Stout, 2012).

The Rise of Stakeholder Theory

Key to the convergence of CG and CSR is the centrifugal pull of stakeholder theory. Stakeholder theory has broadened the perspective of CG in both theory and practice to include a wider group than principals and agents with a 'stake' in the firm (Freeman, 1984). More integrative of business and society, stakeholder theory also provides a foundation for the development of CSR theorising, and thus occupies a significant and complementary position at the interface of CG/CSR. In the field of practice, many of the most widely used CSR frameworks are based on multi-stakeholder initiatives. The central core of stakeholder theory is the normative aspect (Donaldson & Preston, 1995). This identifies the moral dimension where a stakeholder's legitimate interests are taken to have an intrinsic value to the firm, guided by underlying moral or philosophical principles and obligations (Donaldson & Preston, 1995; Margolis & Walsh, 2003). With a potentially diverse group of internal and external stakeholders, there is a need for balance and integration between competing interests.

Herein lies the critical challenge to be addressed, as CSR and CG interests appear to converge through growing corporate awareness of the influence of stakeholders representing diverse interests. How can competing stakeholder interests be met? Is there a paradox within stakeholder theory, whereby management have a contractual duty to manage the firm in the interests of the shareholders, at the same time as a moral duty to take other stakeholders into account? (Goodpaster, 1991;

Sundaram and Inkpen 2004). Can a "pragmatic and pluralistic approach" that prioritises stakeholder values meet these challenges (Freeman, Wicks & Parmar, 2004: 366)?

COMPLEMENTARY THEORETICAL APPROACHES IN AN INSTITUTIONAL CONTEXT

Brammer and Pavelin (2013) point to synergistic opportunities between both the body of CSR literature that is strong on theoretical underpinnings and concepts in CSR, but weak on translation of this into appropriate governance structures, and CG literature, where weak theoretical underpinnings are compensated by "informative lessons for the practical tailoring of governance structures" (2013: 724). Both fields recognise that CG and CSR are "embedded within broader economic and social institutions" (Brammer & Pavelin, 2013: 722) and national business systems (Matten & Moon, 2008) and both have conducted research to consider which of their elements are related to improved financial performance (Clark, Feiner, & Viehs, 2014; Ioannou & Serafeim, 2015). Therefore, an analysis of the interface between CG and CSR may be understood within an *institutional context* (Devinney et al., 2013).

Central here is the identification of those stakeholders deemed to have "legitimate claims" on the firm. By analysing how "different systems of domination can be reconfigured and change", institutional logics "foreground issues of contestation and struggle" (Hirsch & Lounsbury, 2015: 97; Thornton, Ocasio, & Lounsbury, 2012). Organisational governance provides an important context from which to examine the dynamics of multiple and potentially conflicting logics (Greenwood, Raynard, Kodeih, Micelotta, & Lounsbury, 2011; Kraatz & Block, 2008; Mair, Mayer & Lutz, 2015) and may help to explain the state of play in beliefs and practices at the interface of CG and CSR. Ultimately institutional logics shape organisational action through their roles in conferring legitimacy and controlling necessary resources (Bertels & Lawrence, 2016). Suchman (1995) identifies three sources of legitimacy: cognitive legitimacy, meaning broadly shared taken for granted assumptions; pragmatic legitimacy based on an instrumental economic logic of self-interest and moral legitimacy based on normative approval and a pro-social logic that requires explicit moral discourse or deliberation.

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CONVERGING DISCIPLINARY TRIBUTARIES AT THE CG/CSR INTERFACE

With greater social and environmental challenges on the horizon, the field of CG is now beginning to draw from a broader range of disciplines. A narrow legalistic focus of CG on boards, CEOs and shareholders – within the context of financial markets has dominated (Clarke, 2012: 3). This has represented a vertical approach to governance, neglecting the horizontal dimension of relationships with stakeholders inside and outside the company. A more integrated and coherent conceptual treatment of the relationship between CG and CSR and a more "effective integration of theoretical and empirical work on the nexus between corporate governance and CSR" is underway (Brammer & Pavelin, 2013: 738).

Investors represent a significant and growing influence at the interface of CG/CSR (Brammer & Pavelin, 2013; Young & Gates, 2013). An increasingly active responsible investment community driven largely by institutional investors (Devinney, 2013) is seeking to engage with senior decision makers within corporations, for greater commitment towards sustainability disclosures (Brammer & Pavelin, 2013; Kiron et al., 2015). Shareholder activism has now evolved to become an important dimension of financial markets, pressuring directors of boards for improved performance and shareholder value. In particular, collaborative groups of investors with a growing environmental, social and governance (ESG)[2] and 'long-term value creation' agenda (Gillan & Starks, 2000; PRI, 2019). Today, large-scale institutional investors such as pension funds have become the dominant players on the world's financial markets, making them "an important force for corporate social responsibility worldwide" Sandberg (2013: 436). Here the UN supported Principles of Responsible Investment (PRI), representing more than 1,300 asset owners and investment managers, utilise a number of institutional levers (DiMaggio & Powell, 1983) to influence the ESG performance of corporations, for example, coercive, state-based CG/CSR codes; normative ESG/CSR reporting

[2] There is a growing presence of the investor community at the CG/CSR interface, with an instrumental focus on ESG issues. They seek to drive greater integration between CSR and CG via board engagement, broadening interpretations of directors' fiduciary duties and stakeholder engagement, and a longer-term approach to value creation—financially, socially and environmentally. The term 'ESG' (Friede, Busch, & Bassen 2015) is used by the investor community as a related term to 'CSR' and shall be referred to in the paper in an investor context.
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frameworks; and peer working groups associated with shareholder activism (Young & Gates, 2013). However, what is not clear is to what extent market logics complement or compete with the broader stakeholder logic. Recent research suggests a paradoxical role, whereby market logics shift from complementary to competing with stakeholder logics as the market logic becomes more prevalent and its profit-maximizing end becomes taken for granted (Yan, Ferraro & Almandoz, 2019).

Given these conceptual considerations, the next section of this article covers a comprehensive review of the field of practice at the CG/CSR interface.

IN THE FIELD OF PRACTICE: AN EVOLVING INSTITUTIONAL INFRASTRUCTURE AT THE INTERFACE OF CG AND CSR

A new generation of institutional infrastructure is rapidly evolving at the CG/CSR interface, encompassing CG, responsible investment, corporate reporting and corporate sustainability initiatives around shared interests such as long-term value creation, stakeholder dialogue and board engagement. Here, practitioner knowledge leads theory (Bertels, Papania & Papania, 2010) and the question of modern CG moves "beyond an academic discussion and firmly grounds it in real world decision-making contexts" (Halburd, 2014: 668), bringing what is becoming an increasingly important conversation in global governance and management circles into national contexts. Coalitions of institutional actors and entrepreneurs (Fox, 2014; Grayson & Nelson, 2013; Lawrence, Suddaby & Leca, 2011; Maguire et al., 2004) representing stakeholders from the UN and other transnational agencies, business and its industry bodies, associations and intermediaries, professional services, NGOs and civil society, the investment community and regulators and academia are working to raise awareness, build momentum and engage the most senior levels of decision makers in the field of CG on the purpose of the corporation and sustainable development. Recent developments from within the ranks of the major international CSR initiatives are moving beyond corporate reporting requirements to address current practices in CG, the interpretation of the legal requirements of boards of directors and the very purpose of the corporation.

Particular attention is being focussed on:

1. Re-examining *fiduciary duty*, board engagement and capacity building.
2. Developments in corporate reporting, interpretations of *materiality* and a shift towards a long-term approach to shareholder value creation.
3. An examination of the *regulatory and policy* environments that enable current investment and capital market practices.

Table 2 extends Waddock's (2008a) mapping methodology of the CSR institutional infrastructure by:

- Encompassing recent key international developments at the CG/CSR interface including CG, responsible investment, corporate reporting and corporate sustainability initiatives
- Shifting the categorisation of the institutional infrastructure from Preston's (1975) triangular interplay of business, civil society and government (Chapter 2, section 2.4) to the more complex and interpenetrating social, economic and political systems that reflect the growing political role of private actors (Beckmann, 2015). These confirm the emergence of a political form of CSR (Scherer & Palazzo, 2011).
- Demonstrating the collaborative and overlapping nature of initiatives by identifying the multi-stakeholder collaborators across each initiative—transnational corporations, industry bodies and associations, academia, professional services, the investor community, NGOs and civil society, state/regulators and multi-lateral agencies such as the UN.

Insert Table 2 about here

Noteworthy is the prominent role of UN-based initiatives such as the United Nations Environment Program Finance Initiative (UNEP FI), the UNGC and PRI in convening multi-stakeholder groups and collaborating with private actors, for example, from transnational corporations and professional services firms and, increasingly, the global investor community. These private actors serve on the initiatives' boards, advisory bodies and working groups with varying degrees of self-interest. The moral 'authority' of the initiatives is based on UN international conventions and declarations that underpin their principles, for example, human rights, labour rights, anti-corruption

and environmental sustainability. In aggregate, there is a discernible shift underway in the most recent initiatives (e.g. the G20's Task Force on Climate-related Financial Disclosures (TCFD) and the UN's Sustainable Development Goals (SDGs)) in terms of the institutional logics at play: from a dominant market logic (Bondy et al., 2012; Hirsch & Lounsbury, 2015) towards a broader stakeholder logic (Ioannou & Serafeim, 2015). There is also a greater engagement across the board 'ecosystem', and an alignment with the practical tailoring of governance structures (eg the UNEPFI's Integrated Governance initiative) around a longer-term approach to value creation for the corporation and a broader range of its stakeholders (eg . International Integrated Reporting Council (IIRC)). In so doing the proponents of these initiatives and coalitions hope to align their interests in sustainable development with the corporate interests of business sustainability.

This is demonstrated in the narrative that promotes their objectives, described in terms of materiality, ESG integration and long-term value creation, i.e. sustainability issues are integrated in a way that purports value creation for the company and beneficial results for all stakeholders in the long-term (UNEP, 2015). The following section provides some detail to the evolving institutional infrastructure summarised in Table 2. It extends the work of Waddock (2008a) and, more recently, Grayson and Nelson (2013) to highlight the extent of collaborative activity at the CG/CSR interface.

Re-Examination of Fiduciary Duty, Board Engagement and Capacity Building

Promising alliances are broadening debate into the CG domain, in particular with an examination of what is understood to constitute the fiduciary duties of boards and, by extension, what are considered to be "material" sustainability issues integral to their decision-making responsibilities. For example, the Purpose of the Corporation Project (2014), the emergence of new corporate forms such as the Benefit Corporation movement, and parallel developments led by Eccles and Youmans, Harvard Business School (2016) in collaboration with the American Bar Association, to demonstrate that the ideology of shareholder value maximization lacks solid grounding in corporate law, corporate economics, or empirical evidence.

Programs recognising the importance of board engagement by developing board capacity .include the UNGC's '*Global Compact Board Programme'* (2014) and Ceres' '*Lead from the top: Building Sustainability Competence on Corporate Boards'* (Ramani, 2017). Both take a practical approach focusing on company-specific material issues that significantly impact operations and revenues. UNEP FI's Asset Management Working Group (composed of global asset managers) together with Harvard Business School have published a governance framework to assist: *'Integrated Governance - A New Model of Governance for Sustainability'* (2014), which seeks to locate sustainability issues at the heart of corporate strategy, at board level.

Developments in Reporting, Disclosure and Interpretations of Materiality

The Corporate Reporting Dialogue (2016), convened by the IIRC is bringing together corporate reporting frameworks and standards, to help drive a more integrated approach towards corporate reporting across social, environmental and economic dimensions, under the overarching concept of long term value creation espoused by the IIRC Framework (IIRC, 2017). *C*entral to the discourse on reporting and disclosure in CSR is the elusive concept of 'materiality'. Used in both financial and non-financial reporting, materiality underpins the parameters of what is considered to be relevant in governance determinations and hence remains a contestable issue (Eccles & Youmans, 2016). For Eccles and Youman's (2015a: 3) "determining materiality is at the essence of directors' fiduciary duty and it is the basis for establishing the legitimacy of the corporation's role in society". Materiality is a social construct and for White (2015), co-author of the Global Reporting Initiative (GRI) operationalising the concept of materiality will always be a work in progress, reflecting the constantly shifting conditions shaping global business and global mega-trends of systemic risks and opportunities. White believes that with momentum from collaborative initiatives, pressures to bring a more holistic, long-term perspective to materiality in law, regulation and strategy are inevitable (White, 2015).

Engaging Financial Markets, Regulatory and Policy Environments

Linking developments in corporate reporting to financial markets and the regulations and policies that guide them is the Sustainable Stock Exchange Initiative (SSE) (2014). The initiative

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provides a platform for exploring how stock exchanges from around the world, in collaboration with investors, regulators and companies, can increase corporate transparency, performance on ESG issues and sustainable investment. Co-convened by the PRI, the United Nations Conference on Trade and Development (UNCTAD), UNEP FI and the UNGC, the SSE's stated purpose is the enhancement of listing rules and regulatory initiatives to include the disclosure of sustainability strategies by listed companies to drive more sustainable capital markets.

These developments are supported in turn by responsible investment initiatives. In particular, the PRI has recognised the importance of driving multi-stakeholder engagement at the board level of companies and has taken active steps to do so through its "Clearinghouse" of issue areas such as the director nomination process, the inclusion of ESG criteria in executive incentive schemes and encouraging companies to sign up to the UNGC and undertake integrated reporting (PRI, 2013). Collaborative investor campaigns such as the 'Global Investor Statement on Climate Change', a collaboration of six investor institutions and UN bodies (representing three hundred and fifty global institutional investors with more than twenty-four trillion dollars in assets) are proving highly effective, as is the more recent G20 driven Task Force for Climate Change Disclosures, informed by the Paris 2015 UN Climate agreement.

Similarly, the final report of the UNEP Inquiry's '*The Financial System We Need: Aligning the Financial System with Sustainable Development*' (2015) deepens engagement and influence on the regulatory and policy front. The initiative focuses on the roles of the "financial system's rule-makers", i.e. the institutions that support and maintain current practices and beliefs in the financial markets (UNEP, 2015: vi). These include central banks, development banks, financial regulators, finance ministries, other government departments, standards institutions, institutional investors and market-based standard-setters such as stock exchanges and key international organisations and platforms.

CONCLUSION

This review has revealed a rich picture of collaborative initiatives at the interface of CG and CSR and supports the case for a mutually beneficial coexistence of logics (Mair & Hehenberger, 2014). Here a long-term strategic approach to 'value creation' is a central theme with which to align stakeholder and shareholder interests, whilst building common ground with ESG investors' interests toward long-term responsible investing (Friede et al., 2015).

Many corporations are now engaged at the CG/CSR interface in response to legitimacy concerns, where legitimacy is understood to mean "the social acceptance of business organisations and their activities and is considered a vital resource for organizations" (Scherer et al., 2013: 260). Scherer et al. (2013) argue that in the face of conflicting demands, the use of a single legitimacy strategy, for example, pragmatic, is not enough as corporations navigate a world of inherent tensions and competing institutional demands. Instead, corporations need to acknowledge the requirement for multiple legitimacy strategies – spanning cognitive, pragmatic and moral, and to combine all three in "structural and contextual arrangements with internal platforms for reflection" and deliberation (Scherer et al., 2013: 278). Corporate legitimacy therefore becomes an essential area of concern at the CG/CSR interface. Of consideration is how the inherent tensions between market and stakeholder logics can be managed and "how [CSR] as a public good, they can be aligned with business objectives" (Scherer et al., 2013: 278).

Organisations capable of engaging in and strategically managing plural logics are more likely to adapt, innovate and sustain themselves over the long-term in the face of emerging challenges (Kraatz & Block, 2008; Pache & Santos, 2010). Therefore, a more integrated, coherent and conceptual treatment of the relationship between CG and CSR is called for in order to closely understand the logics at play, as organisations seek to maintain corporate legitimacy through deliberative processes.

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Table 1: The CG/CSR Interface: Convergence and Complementarity

Issue	CG	CSR
Dominant Logic	**Shareholder**	**Stakeholder**
Shared Challenges in the Field of Practice	Perceived failings of CG e.g. corporate collapses and the GFC Dominance of shareholder primacy and MSV in field of practice Calls to address needs of multiple stakeholders in an overarching system of governance that balances responsibility of the needs of all stakeholders and addresses the focus on short termism and its consequences	Challenge in engaging boards of directors in CSR initiatives Emergence of an instrumental form of CSR, where the economic is prioritised over social and environmental dimensions, thereby undermining the stakeholder value logic of CSR Tensions and trade-offs implicit in aligning financial outcomes with environmental and social issues
Complementary Theoretical Approaches	Extant CG literature is weak on the theoretical underpinnings of the CSR of CG, is shareholder centric, with an over-emphasis on agency theory Extant CG literature is informative on practical tailoring of governance structures	Extant CSR literature is strong on theoretical underpinnings of a range of approaches Extant CSR literature is weak on translation of theory into actual governance structures and practices A growing literature on hypothesised relationships between governance and CSR, global models of governance and integrated governance has begun
Converging Disciplinary Tributaries	Disciplinary narrowness perceived, heavily influenced by economics, finance and legal disciplines Methodological (quantitative vs qualitative) and conceptual (agency theory) biases in research at board level	Invites disciplinary diversity, e.g. social psychology, economics and political economy

Table 2 An Evolving Institutional Infrastructure at the Interface of CG and CSR

Institutional Infrastructure	Initiatives / Founding Organisations	Busines	Industry Assocns	Prof, Services	Investor	Civil Society	State/ Regulat	Transna tional	Academ	Objectives
Corporate Governance	The Purpose of the Corporation Project: Frank Bold Law Firm with The Modern Corporation Project (Cass Business School)									• Collaboration of public interest law firm and academia together with practitioners to develop new options for CG models. • Liaising with business, policymakers and civil society organisations to foster an open discussion with all stakeholders on the purpose of the corporation. • Challenges shareholder primacy as a social norm.
Corporate Governance	The Statement Campaign and the Sustainable Development Task Force: American Bar Association, UNGC, Harvard Business School									• Collaboration of academia, the legal profession and transnational actors. • Extensive legal analyses of the fiduciary duty of corporate boards across the jurisdictions of G20 countries to clarify the norm of shareholder primacy. • Development of an annual "Statement of Significant Audiences and Materiality" for Corporate Boards to identify their most significant audiences (stakeholders including shareholders) and the short-, medium- and long-term time frames in which the company evaluates the impact of its decisions on them.
Corporate Governance	Integrated Governance: UNEP FI's Asset Management Working Group									• Investor driven, collaborating with academia, intermediaries to providing corporate boards with a framework to phase in the integration of sustainability into board decision-making, ensuring value creation for the company and beneficial results for all stakeholders in the long-term.
Corporate Sustainability	The UN Sustainable Development Goals (SDGs):									• Agreed by UN member states (2015) and commitment to the UN 2030 Agenda to achieve sustainable development in

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	UN Bodies and Member States									its three dimensions – economic, social and environmental across 17 goals and 169 targets. • Call to action for all governments, business and civil society acting in collaborative partnership to “end extreme poverty, fight inequality and injustice, protect the planet, and provide a framework for global and local sustainable development efforts”.
Corporate Sustainability	Board Training Program: UNGC LEAD Program and PRME									• Collaboration with professional services, leading corporations and academia to develop customised board program. • Aligning corporate sustainability through practical governance structures and processes.
Corporate Reporting	The Corporate Reporting Dialogue (CRD): International Integrated Reporting Council (IIRC)									• Convened by IIRC, collaboration with key financial and sustainability bodies representing international standards and reporting frameworks, responding to market calls for greater coherence, consistency and comparability between corporate reporting frameworks, standards and related requirement. • Developing a platform for ongoing dialogue and “Statement of Common Principles of Materiality” (2016) to align and rationalise the respective reporting standards and frameworks of its participants.
Responsible Investment	Sustainable Stock Exchange Initiative (SSE): PRI, UN Conference on Trade and Development, UNEP FI & UNGC									• Co-convened by transnational UN actors, the SSE is a collaboration of investors, regulators, businesses and others. • Promotes global dialogue and peer learning, providing a platform to explore how the world’s exchanges can work together to create more sustainable capital markets. Core purpose: enhancement of listing rules and regulatory initiatives to include the disclosure of sustainability strategies by listed companies. • Goal: All stock exchanges that are members of the SSE or the World Federation of Exchanges (WFE) providing listed

										companies with guidance on sustainability reporting by end of 2016.
Responsible Investment	The Financial System We Need. Aligning the Financial System with Sustainable Development: UNEP FI									• Convened by the UNEP FI, collaborators include central and development banks, financial regulators, finance ministries, other government departments, standards institutions, institutional investors and market-based standard-setters such as stock exchanges. A high level Advisory Council guides the inquiry. • The final report of the Inquiry aims to shape a financial system that can finance the development of an inclusive, green economy. • Practical national examples of policy changes in banking, capital markets, insurance and institutional investment are provided A Framework for Action shows how a systematic approach can now be taken at both the national and international levels.
Responsible Investment	Fiduciary Duty in the 21st Century: PRI, UNGC and UNEP FI									• Collaboration of transnational actors, law firms, asset owners, investment managers, regulators and policymakers. • Demonstrates that the consideration of long-term investment value drivers, which include ESG issues, in investment practice is a fiduciary duty. • Identifies a series of challenges (e.g. outdated perceptions, lack of clarity) and proposes a series of recommendations for institutional investors, financial intermediaries, policymakers and regulators to enable better investor decisions consistent with their fiduciary duties.
Responsible Investment	Task Force on Climate-related Financial Disclosures (TCFD) G20 Financial Stability Board									• Created by a G20 taskforce that includes investors, businesses, accounting firms, stock exchanges and ratings agencies from around the world, leveraging the 2015 Paris climate agreement. • Voluntary guidelines for investors and insurers build on existing accounting and reporting frameworks to use in climate risk investment decisions.

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										• Adopted by large investors and insurers who want a standard for reporting on climate risks. Companies in their portfolios will be pressured to report on their CG approach to climate change, climate-related scenarios, and climate impacts over the short, medium and long-term.

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CHALLENGES AND OPPORTUNITIES OF PRIVATE UNIVERSITY LEADERSHIPS: THE CASE OF BANGLADESH

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Abstract

This experimental study contributes to addressing the scarcity of works on university leaderships in developing countries in general and Bangladesh, in particular. Leaderships in higher education in the developing countries are facing enormous challenges due to contextual complexities from both internal and external environment. Such challenges also come from academics, administrative staffs, students, political actors, and regulatory bodies, among others. At the same time, these university leaderships (Vice-Chancellors, in this study) are having infinite potentials and can bring great benefits to excellence in higher education institutions. By examining the views of vice-chancellors of private universities, this exploratory study presents the challenges before this university leadership, by mitigating which they would not only contribute to the higher education institutions but also can assist in developing the socio-economic conditions of Bangladesh. This study also expands further the existing body of scholarly literature and opens opportunities for future researchers.

Keywords: *Challenges, opportunities, university, leadership, Bangladesh*

Introduction:

Since that enactment of the Private Universities Act of 1992, an overwhelming growth has occurred in the higher education sector through the emergence of a large number of private universities. The emergence of private universities in Bangladesh has created opportunities for higher learning and considerably contributed to the development of Bangladesh. Presently, 103 private universities are functioning in Bangladesh (UGC, 2019). These private universities have created opportunities to thousands of students to take part in higher education who otherwise would go overseas or would discontinue their studies. These private universities also generated employment for a large number of officers and academicians, many of whom are very skilled and have overseas qualifications. Vice-chancellors (VCs) of these universities play a critical role in leading such institutions facing several challenges. They also play significant roles in the advancements of these institutions through utilising their leadership skills.

Graduates of these universities getting employment mostly in the fast-growing private sector including the aviation, banking, telecommunication, shipping, garments, freight forwarding, export-import, construction industries. These graduates are joining multinationals as well as they are going overseas with better job prospects. In reality, the supplies of graduates from these private universities are helping the expanding business sectors of Bangladesh to meet the demands of a competent workforce. The roles of VCs are very crucial in producing such skilled graduates, who can perform in their jobs in these business sectors efficiently. Overseas employed private university graduates are sending remittance and boosting the economy of the country. Nevertheless, Bangladesh is the ultimate beneficiaries from the introduction of these private universities that need effective and efficient leadership for further growth.

University Grants Commission Bangladesh (UGC) is the monitoring authority inspects the proposed universities and recommends to the Ministry of Education for approval. UGC is also responsible for the approval of curriculums, coordination with these universities, monitoring their academic programs and giving necessary advice or policy recommendations in various areas of

university management. In 2004, UGC made their first-ever assessment of the private universities and ranked them in A, B and C categories. Nine universities were placed in A category for their outstanding performance. UGC has developed several policies to bring excellence in the private university operating including uniform grading system, where the VCs played very critical roles.

However, the rapid growth of the private universities in Bangladesh has brought these institutions towards a compromise on quality education (Ibrahim & Joarder, 2009). These universities are now in competition with each other and are trying their best to attract prospective students. As a result of competition, these universities have created various opportunities and facilities for the students like larger libraries, modern computer labs, air-cooled classrooms as well as scopes for sports and cultural activities. Moreover, they offer generous scholarships for poor but brilliant students, which are giving the students motivation to continue their higher studies at these universities. The Vice-Chancellors play leadership roles in academic, administrative and infrastructure development in their respective universities to make them attractive and competitive to increase student enrolment and cash flow for these universities.

Private universities in Bangladesh offer mainly four-year bachelor degree programs as well as offer some masters' programs. They have also crafted a new phenomenon in the higher education sector in Bangladesh, like smoking free and politics-free campus with assurance for course completion on time. Some of these universities are costly and only students from affluent families can afford to study there, unlike the public universities. However, regulators and consumers have fears about service quality, design, and costs (Haque, 2004). So, the Vice-Chancellor, on one hand, can play roles to ensure quality education and on the other, may also contribute to keeping the tuition fees at a reasonable level. As a result, the universities can still accessible to the students of middle and upper-middle-class families.

The private universities in Bangladesh are contributing significantly in the socio-economic development of the country in several ways. These universities are reducing brain drain by employing overseas-qualified Bangladeshis as faculty members. They are also saving foreign currencies by

creating opportunities for the children of affluent families, who otherwise would go overseas for their higher studies costing huge foreign currencies. These institutions are also facing several challenges, which should be resolved to have healthy growth and long-term sustainability. The challenges are: to find competent teaching resources; poor student intakes; lack of vision among the universities founders /trusts; inadequate financial resources; lack of government support etc. The leaderships of these universities, mainly the Vice-Chancellors, can help support to overcome these challenges in various ways by taking appropriate measures.

1.0 The research context

During 1971, at the time of liberation, Bangladesh was dominated by public sector activities and state initiatives. The government also ran all the universities of this country. But during the 1980s, the social demands for higher education increased, but the government could not fund the establishment of new universities, it considered the option of non-government (private) universities. In 1992 Private University Act opened the door for private higher learning and the first such institution, North South University received approval the same year.

Most Private Universities offer market-oriented courses, which means job demands for such courses are very high. Most popular courses being offered in the private universities are Business Administration, Electrical and Electronics Engineering, English language, Law, Journalism etc. Enrolment in these private universities has increased at a fast rate and, as of 2020, which could be around 4,57,089 students in the private universities against around 2,82,317 in the public universities (Siddiqui, 2011). The number of teaching staff in private universities also increased at a similar pace, though some public university teachers teach at private universities, specially the teachers having a business background. Among these universities, fourteen have moved to their permanent campuses complying with government directives and five of them have also partially shifted to their permanent campuses. It is a good sign for the private universities that they are developing their campuses and reducing the dependency on rented houses.

According to the Private University Act, these universities have a two-tier administrative structure. Board of Trustees is the highest authority of private universities. A chairperson, elected by the members of the Board of Trustees, heads the board. It takes policy decisions concerning development, long-term financing, and the overall management of the university. The second tier deals with the administrative, academic and day-to-day affairs of the private universities. The Vice-Chancellors act as the CEO for this level of activities in private universities, who are responsible to play a leadership role to move these universities towards the right directions. A Pro-Vice-Chancellor assists him. Another high-ranking position of the private university is the Treasurer. The government gives appointments to the VCs, Pro-VCs, and treasurers from nominees submitted by the Universities.

There is a need to introduce quality control mechanisms in private universities and to ensure that the UGC has taken necessary steps to establish an accreditation council'. Private universities, who can maintain quality education with a proven track record, will be given accreditation by the proposed council.

3.0 Literature review

Handy (1984) points out that, in professional organisations, it is necessary to separate policy and execution, the former being professional and collegial, the latter hierarchical and bureaucratic. Both tasks may require leadership and there are many overlaps between them. A study of the changing roles of senior university staff (Middlehurst, R., Pope, M. & Wray, M., 1992) identified three different institutional leadership functions - educational, academic and administrative, although in practice they merge into each other. Firstly, educational leadership is an activity, which is typically carried out on an external stage. It contributes to national and international policy debates, issues of broad educational concern, including the relationship between industry and education; and the problem of progression between different stages of education. Secondly, academic leadership is concerned with establishing and promoting the academic direction of the institution; the balance of disciplines and of academic activities, like teaching and research, across the institution; the selection

of academics; communication and consultation on academic-related matters; decisions about major new academic developments, such as the opening of a science lab; academic collaboration with other higher educational institutions; the establishment of inter-disciplinary research centres; and the modularisation of the curriculum. Thirdly, administrative leadership, which is quite different from what was earlier defined as `administration', overlaps on to academic leadership, but is more directly concerned with the well-being of the whole institution; its diverse staff; a range of activities and resources, predominantly finance; and its extensive plant and equipment. It also includes the inspiration of and communication with staff; the creation of a congenial appropriate working climate; the balance and integration of the institution with a holistic perspective; interpretation of the external environment; external representation and promoting institutional interests; and fundraising.

Following Kotter (1990), management can be identified at both institutional and departmental levels as the infrastructure that supports both leadership and the activities of the institution and its parts: the system of formal roles and responsibilities with their related levels of authority; the internal decision-making device and regulatory framework; the activities of planning, budgeting, coordinating and controlling in the areas of finance, marketing, staffing, student affairs, estates and buildings, as well as administrative services, all of which contribute to the everyday functioning of the formal organisation. Such an infrastructure is likely to be present in any large, formal organisation, like universities of the modern age. These perceptions of the respondents in the research study compare with changing practice in many ways (Middlehurst et. al, 1992). According to the authors, as institutional leaders have found themselves increasingly involved in safeguarding their institutions, educational leadership appears to have been taken over more by bodies like the Council for Academic Freedom, the National Conference of University Professors and a host of disciplinary bodies, such as the Standing Conference for the Arts and Social Sciences.

4.0 Methodology

It is an exploratory study carried out by the authors in Dhaka and Chittagong, Bangladesh

during June – July 2013. Total ten (10) Vice-Chancellors of ten (10) different private universities have been selected through convenience sampling by the researchers. These Vice-Chancellors have diverse academic and administrative backgrounds and most of them have long experience in the public and private universities.

A semi-structured questionnaire technique has been followed in the interview process. Each interview took on an average of 1.5 hours. Main words of interviewees were recorded in the notebooks. In addition to record in the diary, professional voice recorder was also used to record the voice of the respondents with their kind permission. However, a few of them were interviewed over the phone, due to their inability to spare time from their busy schedules. Both Bengali, the local language as well as English, the second language, were used in conducting the interviews. These Vice-Chancellors were asked the following two open-ended questions and were requested to elaborate as much as they could. The questions were:

a) What are the major challenges you are facing as a leader of your institution?

b) What initiatives do you recommend to overcome those challenges?

5.0 Report of findings

Several issues have come into light from the interviews of these Vice-Chancellors. Firstly, the lack of competent faculty pool during recruitment: the most common challenge that all Vice-Chancellors encounter is a lack of qualified faculty pool while recruiting. All ten Vice-Chancellors expressed how frustrating it is for them to find the right candidates, though they advertise through well-known daily newspapers. Two of them are quoted below:

> We need quality academic staff to ensure quality education, for which we are committed to our students. However, candidates in the interview board often frustrate us. Finding suitable candidates for recruitment is challenging. [R2]

> Prospective competent candidates sometimes do not show interest to join private universities, as they feel secure with the public sector. Many such candidates are interested in corporate sector jobs due to high salary and benefits. [R7]

Secondly, the challenge of complying with UGC guidelines: UGC has a standing directive that all the private universities must go to the permanent campus in five years, from the date of their inception. However, this is very challenging for many universities mainly due to financial reasons. Five of the VC's expressed their concerns regarding this matter. Two such comments have been quoted below:

> USG requires us to move to permanent campus, as we already crossed UGC timeline. But we don't have financial ability to buy such costly land within the city area. Moreover, moving towards outskirt of the city might put us into trouble, as our target population may not be interested to enrol if we move towards such a new location. [R3]

> UGC requires us to comply with their guidelines. For example, it is a mandatory requirement to give five percent scholarships for the poor and meritorious students, etc., developing library, labs and fulfilling similar requirements. Sometimes, complying such requirements become challenging for us due to financial constraints. [R7]

Thirdly, lack of understanding between Vice-Chancellors and Board of Trustees: though the

Private University Act clearly defines the roles of the VCs and the board of trustees, in some universities, major decisions suffer due to the interference by the Board of Trustees. Six out of ten VCs expressed concern regarding this matter. One of them has been quoted below:

> As private universities are new phenomena in Bangladesh and it will take some time to develop a culture of teamwork between the VCs and the members of the Board of Trustees. It can be done in two ways. Firstly, the founders may include only those people in the Board of Trustees, who know quality education at the tertiary level. Secondly, there should be a periodic open dialogue between the VCs and members of the Board of Trustees, where everyone can express their opinions freely. [R10]

Fourthly, support from the government: currently, the government is playing mostly regulatory roles, while managing different functions and issues related to private universities. The government can move one step further and play the role of facilitators as well. Moreover, tax and VAT issues have created huge discontent and frustration among the private university management, students and parents. All VCs, ten out of ten want the government to reconsider this matter to create better relationships between government and these universities. Five such voices are quoted below:

> According to the private university Act, universities are supposed to be non-profit organisations andcan not distribute profits among the founders, investors /donors. So, the Government should not impose tax and VAT on private universities, which directly impacts on the student tuition fees and become the burden of the students/parents. National Board of Revenue should immediately withdraw these provisions; otherwise, the discontent will continue to grow. [R3]

> It has been the tradition in the subcontinent for government in power to extend patronage to institutions engaged in disseminating higher education. Public-Private partnership is essential in this sector, considering the enormity of challenges obtaining in this area. Regrettably enough when Private University came into existence with the passing of the Private University Act 1992- no attention was paid to this aspect. The regulatory and monitoring role, on the other hand, was duly emphasized. [R5]

> University Grants Commission (UGC), the body that is entrusted with the task of issuing various rulings and prescriptions for the growing number of Private Universities, has no room for the representation of the fast-growing stake holders with their ever-growing concomitant problems. It would only be in the fitness of things, to make room for appropriate representation for Private Universities on University Grants Commission (UGC) and other related Government bodies involved in the establishment and

monitoring of Private University. [R6]

As the government supports the public universities through huge subsidies, it is a great opportunity for their students to get education almost for free. Being the citizens of the country, the government has also responsibilities towards the students of private universities as well. The government can do so in several ways. Currently, these universities make huge expenditure in the form of rent, which increases the pressure on the tuition fees of the students. Based on the performance of the universities, the government may give them government lands at a fair price to build permanent campuses. At the same time, the central bank can make provisions of charging low interest on loans of private universities for infrastructure development. [R8]

Students of private universities are having little or no access to sports facilities, which they are being deprived office compared to their public university friends. Several governmental agencies have underutilised facilities that could be used for outdoor games and sports by the private universitie through cooperation, where government plays the roles of facilitators. [R10]

Fifthly, lack of training opportunity for the capacity building of faculty and staff: to increase the performance of the faculty and staff, rigorous training is necessary for different areas to ensure quality education. VCs often face many complaints from the students, if improved, will create a congenial academic environment in the private universities. Two such quotes are presented below:

Bangladeshi teachers exhibit great performance in overseas universities, whereas it is often noticed that while serving in Bangladesh, many of them do not have respect towards time management, having a lack of class preparation, lack of friendly relationship with the students, do not submit the results on time etc. Individual universities or several universities can work together to organise periodic training to improve those areas that will help improve the quality of education it the private sector. Also, universities should organise training sessions on Customer Service for the administrative staff so that students can getnecessary supports in the shortest period. [R1]

We should take every single complaint seriously regarding our teaching and non-teaching staff and handlethem fairly to ensure that everyone's right is respected and our students, who are our customers, also feel that their university is always by their sides if they are victims of any mistreatment. [R9]

Sixthly, poor relationships among the teachers, staff and university administration: VCs become frustrated when there are serious expectations from staff and faculty members to raise salary and benefits. With the price raise of food, house-rent, and other essential commodities, such employees also expect their salaries and benefits will be increased. Five out of ten VCs shared their views towards this issue. Two such quotes have been placed below:

> We run our university out of student tuition fees. Raising salary and benefits for faculty and staff depends on increasing of student tuition fee, which cannot be done often considering the possible reaction of the students. [R1]

> University Board of Trustees can create an alternate source of income so that they are not solely dependent on student tuition fees to meet their expenditures. Also, Heads of Human Resources of different universities can effectively coordinate this matter with the faculty and staff. So that the VCs do not need to waste their time regarding this matter, as they have limitations in handling such sensitive issues. [R5]

Finally, intra-university and inter-university coordination: VCs may initiate intra-university and inter-university coordination meetings to identify issues and bring solutions to those problems. Seven out of ten VCs are in favour of such initiatives, two of them are quoted below:

> In addition to the formal meetings, VCs can hold informal meetings with staff, faculty and students to get the perceptions of existing issues that prevail in his/her university. Sometimes, solutions may come from these staff without having much hassle. For example, staff/faculty often discuss medical benefits, especially when someone suffers from a serious medical condition and the treatment become very costly. But, provisions of developing a fund can be created from staff/faculty/management contribution so that the university can play a significant part in such expenditure when the situation arises. [R7].

> One to one or group meetings among the VCs can be held from time to time, where they can share these challenges they often face and can help each other with necessary expertise and assistance. Mutual support and cooperation among the VCs are very crucial and bring excellence in the university operations that will not only help and ease their own lives but also benefit students, staff, teachers, parents and will ultimately impact on the society as a whole. [R4]

6.0 Analysis and Recommendations

Based on the interviews and discussions with Vice Chancellors, this study develops the following recommendations, to bring excellence in the management of private universities. These recommendations are as below:

a) **The hiring of quality academics:** To attract quality academics for private universities, necessary facilities, benefits, and congenial environment can be created. However, the academics should also understand that this is a non-profit sector and financial gain may not obtain like the corporate sectors.

b) **Consulting the stakeholders by UGC:** While framing policies for the private universities by the University Grants Commission, they can consult those proposed policies with VCs and other appropriate stakeholders for the benefits of everyone impacting by those policies.

c) **Enhancing Government facilities:** In addition to the students of public universities, the government has its responsibility towards the students of the private universities as well. The Ministry of Education can also play the role of facilitator so that this new sector can grow and play an important role in the development of the country. City corporations can allocate lands at government rate and central bank can issue directives to provide loans with low services charge for construction to support the private universities.

d) **Increasing of Trust – VC relationships:** Board of trustees can be comprised of the members who have some knowledge and vision about tertiary education. Otherwise, they may select a representative (s) with such knowledge, to coordinate and help the Vice Chancellors to take necessary policy formulation and implementation of various decisions.

e) **Withdrawing tax and VAT**: Tax and VAT should be withdrawn from the private university sector as it creates a direct burden on the student tuition fees, that makes disparity among the students of public and private universities, whereas government is giving huge subsidy to the public universities.

f) **Providing outdoor sports facilities through public-private partnerships:** Sports facilities of public organisations can be leased to the private universities through

public-private partnership to make outdoor sports facilities of private university students.

g) **Training of faculty and staff to achieve excellence:** Regular training programs /workshops can be arranged to improve the various soft skills of the teaching and non-teaching staff to improve their time management, attitudes and customer service skills. Annual performance appraisals can be introduces to ensure effective monitoring of the performance of all staff.

h) **Hiring of professional HR staff:** Professional HR managers can be appointed to handle the HR related issues of faculty and staff, such as salary and other benefits. Such matters should be brought often at the Vice-Chancellor level.

i) **Creating a discussion forum among the VCs**: VCs' can develop informal discussion forums to exchange views among themselves and resolve issues from each other's experience that will benefit the universities in various ways.

7.0 Limitations and conclusions

This study has revealed significant information that is currently creating impediments to the private universities being faced by the Vice Chancellors. The interviewees also have given several recommendations to overcome such challenges to bring excellence in the operation of private universities. A future study can be conducted to identify the challenges being faced by the VCs of public universities and also to identify solutions to bring excellence in public university management.

Education is one of the most important factors for the advancement and growth of a developing country like Bangladesh. The Vice-Chancellors, team leaders of the private university operation play a crucial role in the operations of such institutions and they must get the necessary support from all the stakeholders including government, Board of Trustees, faculty/staff and students for the smooth functioning of their respective institutions. To help strengthen their role in private university management, the recommendations of this study may be considered with due attention. Also, stakeholders of other developing countries, having a similar socio-economic background can utilise the recommendations of this study.

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Stream 11 –
Wicked work: Preparing the
professionals of the future

Wicked work: Preparing professionals of the future

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ABSTRACT: *Higher education institutions are under increasing pressure to graduate work-ready professionals. Work Integrated Learning (WIL) is a teaching strategy aiming to address this requirement. The Australian WIL literature includes perspectives from industry and students, however, the WIL educator is largely silent. This collective case study considers how educators facilitate professional pathways through WIL. A stakeholder theory framework was used to examine WIL through the experiences and perceptions of WIL educators. It was found that educators mobilised professional pathways of learning to support the student in becoming professional through WIL. Preparing future professionals in the complex environments between education and work is fraught with difficulties. Educators negotiate, mediate and facilitate to manage the wicked problems that WIL presents.*

Keywords: Professional pathways; higher education; educators; work integrated learning

Stream 11 –
Wicked work: Preparing the professionals of the future

Modern thinking about higher education demands that universities provide knowledgeable, capable, work-ready graduates. The strategic development of work ready graduates has drawn the broad attention of governments, media and higher education providers. Work Integrated Learning (WIL) is an acknowledged practice utilised by universities to prepare students for work in their relevant professions. However, WIL is also renowned for its unruliness, its precarious balancing of theory and practice, and its dependence on external industry based organisations to be mobilised. The extent of WIL's unruliness is highly contextual; for example, geographic location, discipline compatibility with WIL strategies and industry relationships all are relevant. The literature documents both industry perspectives of WIL and student perceptions. However, the educator's voice is predominantly silent. Yet it can be argued that the WIL educators are the most critically placed people in the higher education system to influence graduate employability through their work. Their experiences should be known, their voices should be heard, and their work should be understood if employability is perceived as an important issue for universities. Educators in WIL span two broad and complex environments: higher education and work. How they negotiate these environments to prepare the professionals of the future is largely unknown. This paper considers how universities prepare students for professional pathways using Work Integrated Learning, through the perspectives and experiences of the educators.

This paper has been organised as follows: firstly, literature pertaining to WIL in Australian Higher Education (HE) is considered, followed by the theoretical framework, research question and research design for this study. The findings section explores the experiences of three WIL educators in three different disciplines in relation to preparing their students for the professions. The discussion section explores educators' perceptions of the student experience in WIL and how educators prepare students for their professional future, before concluding comments are made.

WIL IN AUSTRALIAN HIGHER EDUCATION

Work Integrated Learning (WIL) has been a common response to increasing work readiness in students, predominantly because curriculum driven supervised work experience has been touted 'a magic ingredient improving employment rates of graduates.' (Kettis, Ring, Gustavsson, & Wallman, 2013). Hence, Universities are increasingly utilising WIL curriculum to develop students with comprehensive workforce capabilities (Abeysekera, 2006; Choy & Delahaye, 2011; Smith & Worsfold, 2015). A primary challenge in doing this is transcending the 'vendor' relationship that traditionally exists between higher education, students and industry, and developing a new space where the tacit knowledge of employees in partner organisations can be more strongly utilised to further develop graduate outcomes (Abeysekera, 2006; Choy & Delahaye, 2011). Listening to industry, and monitoring changes in the employment landscape is critical in ensuring that HEIs are focussed on developing suitable knowledge, skills, attributes and attitudes. The challenges of this are unsurprising given the time and commitment required to establish and maintain industry partners (Bates, 2011; Brown, 2010; Gamble, Patrick, & Peach, 2010) and the tensions and dilemmas that exist between industry and Higher Education (Singh & Harreveld, 2014). However, while authentic work place learning has been thought to develop team skills (Smith & Worsfold, 2014) and problem solving skills (Yap, 2012) in particular, graduate transition into employment remains an issue.

In this study, the learning processes that facilitate the transition between study and work are referred to as professional pathways. These learning processes can be aligned with four key aims of HE that emerged from an overview of the Australian Higher Education Sector in 2004 (Department of Education, Science and Training, 2004). It was found that most Australian universities strive to develop:

1. Knowledge attributes - in general, graduates are expected to have good literacy and numeracy skills, the ability to communicate and listen and appropriate discipline-specific knowledge.

2. Thinking attributes – graduates are expected to have good conceptual and problem solving skills, the ability to question, be creative and to combine theory and practice.
3. Practical attributes – emphasises the ability of graduates to use information technology and be proficient in any other technical skills appropriate to their discipline. The ability to initiate and respond to change is also considered an important attribute.
4. Personal attributes and values – graduates are typically expected to have a commitment to learning, be flexible and able to work in a team, have leadership skills and understand the concepts of ethical action and social responsibility.

Development of these attributes is critical to the success of the graduate in their chosen line of work. Therefore, in this paper, professional pathways are defined as learning strategies supporting the development of knowledge attributes, thinking attributes, practical attributes and personal attributes and values relevant to the profession.

As they cross and re-cross the threshold between education and work, students in WIL develop the skills and experience they need to become employable, work-ready professionals. Professional pathways are highly contextual, and, necessarily, temporal. Students begin their higher education experience because of their interests, motivations and the future pathways the discipline can provide. Professional alignment between discipline and industry is an important indicator of legitimacy for higher education. Hence student employability in relevant professions following graduation becomes a significant marker of higher education success. It is important to consider WIL experiences as in between enrolling in university and exiting university as an employable, work-ready professional. The findings presented in this paper provide educator insights into the student experience during this time, as they negotiate professional pathways through WIL.

THEORETICAL FRAMEWORK

Stakeholder theory has been evolving in the literature since 1984, when Freeman suggested it as a strategic management approach for organisations. Since this time, there have been many different perspectives of stakeholder theory, and the subsequent stakeholder management theory, considered in organisational context. Stakeholder theory is useful in WIL contexts as it provides a universal perspective through which relationships in WIL can be considered, despite the differences between HE disciplines and professions the disciplines serve.

Educator perspectives of WIL stakeholder relationships are examined in this paper. The educator is positioned as the definitive stakeholder. The definitive stakeholder is the stakeholder that possesses all three stakeholder salience attributes: power; legitimacy and urgency (Mitchell, Agle & Wood, 1997, p. 874). This stakeholder is highly influential, and is situated centrally, overlapping and interconnecting with other stakeholders, showing their relative power and authority in the group. Other stakeholders depend on the definitive stakeholder, appropriately reflecting the educators' critical position in WIL. Frooman (1999) further developed stakeholder theory by proposing that stakeholders utilise influencing strategies that impact upon stakeholder relationships. Rowley (1997) also considered social network constructs acknowledging that society is an influential stakeholder in its own right. In this research, the interplays between stakeholders from the perspective of the educator are examined through these stakeholder theory perspectives.

RESEARCH DESIGN

This study utilised a collective case study methodology, a study of several case studies that provides and insight into a particular issue (Cresswell, 2005). Collective case studies are useful when a variety of 'cases' are required to answer a question pertinent to a broader social, geographic, political or economic context (Cresswell, 2005). In this research, three WIL educators' perceptions and experiences were examined within the broader context of WIL in Australian higher education.

Specifically, this study sought to determine how WIL was mobilised by educators to prepare students for their professional future. The study was framed using the following research question:

RQ: How do WIL educators facilitate professional pathways for their students?

Participants initially responded to an online survey administrated through survey monkey and distributed via university associations. Survey results then informed the semi-structured interview which participants voluntarily opted into at the end of the survey. The original research involved 23 survey participants and 13 interview participants. Participants who opted into the interview process worked as WIL educators at six different Australian universities across 12 different disciplines. Anonymity was assured to participants, and pseudonyms have been used in reporting the research findings. Thematic analysis (Saldana, 2015) was used during four coding cycles: the first cycle involved manual coding, the second cycle was coded through Nvivo before being exported to Excel for the third round of coding. Finally, categories from the third round of coding were re-examined, and themes were identified. For this paper, the perspectives and experiences of three participants are examined.

Participants

Three of the interview participants have been selected for the purpose of exploring the connections between WIL and professional pathways from the perspective of WIL educators. These participants are from two different universities and three different disciplines. Their backgrounds are summarised in the table below. (Table 1 included at end of document)

Experiences and perspectives of the participants were the units of analysis in this study, and are summarised in the next section.

FINDINGS

The following section reveals the experiences and perceptions of three WIL educators currently working in Australian universities. They each presented distinct perspectives regarding the

relationship between WIL and facilitating professional pathways for their students. Penny discussed professional pathways from the perspective of the graduate. Greta discussed professional pathways from the perspective of the new student. Charles did not identify employability as an outcome for his WIL unit, however he raised important concerns about linking WIL with professions. Their experiences are detailed in this section.

Penny integrated professional pathway learning into her WIL unit as a consequence of graduate feedback. She shared her experience:

'A lot of them I sort of lose track of and I don't see, but some of them sort of pop up and come back and contact me after, you know, maybe six months and say, 'I just can't find any work.' And I'm like, 'Well, what are you sending out?' (and I'd see) what they were sending out and, well it's no wonder –it's no wonder you're not getting any response to that!'

Penny included a CV preparation session for students in the final two weeks of semester in her WIL unit to help students be more prepared for work. She found that some students doubted her: *'Sometimes they look at, you know, academics (and think), what would you know?... and I'm like, well you know I do have some experience.'* She also found that emphasising professional pathways enabled her to distinguish between those who succeeded in finding professionally aligned graduate opportunities, *'the students who have been conscientious the whole way through, they get snapped up straight away'*; and those who struggle to find a way forward into employment, *'the students who've just tried to sail through and do as little as possible to just pass, they struggle and they should, to be honest.*' Penny's emphasis on pathways beyond university has provided insight into why some students succeed and others fail professionally after university studies.

Greta identified that her students' preconceptions about professional pathways when they come to higher education can be influential. She explains:

'We have a lot of people that come into the degree not knowing whether they'll be able to do it or not … and first year students that come in not really knowing whether they want to be a teacher or not,

coming in with the pressure, 'Mum and Dad are teachers so I'm going to be a teacher'. I could almost name a handful of students where I know that they're not interested but they're still persisting because there's the pressure from home.'

Because of this uncertainty from students, Greta focuses on *'identifying those goals.'* She asks her students: *'What are your goals for this placement? Let's have a look at them. How are you going to go about actually trying to achieve those goals?'* Greta then revisits these goals throughout the placement: *'Let's have another look at those goals. How are you going? Have you met them? Alright, if you've met them, what are some other goals that we can now work towards? If you haven't met them, well, what do you think we can do about that?'* She emphasises the need for *'constant checking'* to ensure they are on the path to becoming a professional, and that they still want to be on that path.

Greta also suggests that the workplace supervisor that students experience can determine the student's professional pathway. She describes herself as being *'the person who has to try and help both of them adjust in the situation so that …the pre-service teachers can achieve what they need to achieve… it is about going in and finding the middle ground.'* Greta also discussed the requirement to tell a *'white lie'* at times to keep professional pathways open and *'to spare people's feeling more than anything.'*

Charles' perception of his WIL unit was that it did not provide opportunities to develop understanding of or access to professional pathways for his students, and questioned the value of WIL in his discipline. He felt that WIL was *'a reporting requirement'* and not *'well-suited'* to his students. His perceptions highlighted the disconnection between the theory based approach to higher education, and practices of professionals in the fields in which his students will work. His perception was that WIL did not necessarily assist students to gain employment in his field.

'The placements available do not align with the work that our graduates will eventually do. I'm not convinced we have a clear understanding of what work placement is for, what the benefit is in a

profession like ours. What they actually do in placements and what they actually do later on is so different. So I wonder, what is the role of placement anyway.'

Charles discussed challenges in findings suitable placements for his students that reflected the professional pathways they were seeking. He lamented, *'Most of our students come from farming backgrounds. They know how to drive a tractor. What use is it if they drive a tractor?'* Opportunities to undertake placements that are aligned with professional pathways were scarce in Charles' experience. This can be partially attributed to a lack of relevant equipment or resources and the nature of rural agricultural businesses. However, the placement provider's potential inability to appropriately supervise students is of critical importance. Charles was interested in finding out more about the benefits of WIL in agricultural sciences, however his comments during the interview suggested that he remained unconvinced of the benefits of WIL for future professionals in his field.

DISCUSSION

Two themes emerged from this collective case study: becoming professional and preparing professionals. These themes contribute to a greater understanding of the work that educators undertake to assist students to find then fulfil, their own professional futures.

Becoming professional

These educators shared their experiences of students engaged with WIL and their experiences of becoming professional through their WIL experience. Jackson (2017, p. 835) has argued that 'it is critical that HE allows students to gain a clear understanding of and connection with the core values, expectations and behaviours central to most professions' and in doing this have an opportunity to 'construct their own pre-professional identity'. The educators in this study demonstrated this connection with becoming professional through WIL in different ways.

Greta drew on her experience and knowledge of the teaching profession to check in on her students' intentions throughout the unit. She identified external influences that may have influenced

their decisions to engage with the teaching profession, and did not take for granted student compatibility with professional pathways on offer through her discipline. This reflects the growing emphasis of the university experience as a testing platform for professional compatibility, where students can understand the requirements of the profession and, in the case of WIL, see if they can perform to those standards (Jackson, 2017; Tomlinson, 2012).

Penny used graduate feedback to realign her WIL unit so that professional pathways were more accessible and more easily understood prior to graduation. Her reflexive practices enabled professional pathways to be clarified in what is a complex and rapidly changing professional landscape in her discipline. This reflexivity is important as students become professional in multifaceted, relational and fluid ways (Scanlon, 2011). Students require the ability to respond to fluctuating work environments and be prepared to demonstrate a 'duality of employability' (Brown, Hesketh & Williams, 2003) emphasising that job market conditions, and the competitive environment are not static.

For Charles, the WIL experience was less successful in fostering development of professional pathways in alignment with career opportunities. He sought to determine the value of WIL in his profession, and questioned if WIL was the best way forward in aligning students in his field with professional opportunities. Charles' perceptions can be considered in light of professional socialisation: 'students' acquisition of values, attitudes, skills and knowledge pertaining to a professional sub-culture' (Page, 2004, p. 1). According to Sonnenschein, Barker and Hibbins, (2018, p. 1296), 'considering a socialisation perspective in higher education helps to identify changes that could be implemented to develop more effective university degree programmes.' In Charles' view WIL in his unit was not properly aligned with the profession. Professional socialisation was not able to be mobilised as a professional pathway, therefore opportunities to improve the professional alignment in WIL becomes difficult. Opportunities in his regional location in which his students could experience professional socialisation as part of WIL were scarce. The geographic nature of regional universities present significant challenges for WIL in some disciplines because of the professions they

serve. However, his acknowledgment that placements are not enhancing employability of his students is a starting point for re-imaging professional pathways for remote and regional students.

These educators identified challenges in their WIL work in assisting students to become professionals in their fields. Educator reflexivity was central to clearing the pathways for students in their effort to become professionals in their fields. This not only highlights the significance of the WIL educator as critical in developing students' professional futures, it also draws attention to the temporality of the student journey in becoming professional and the requirement for educator knowledge of professional pathways and the cross-roads and speed bumps encountered along them. The complexity of each singular case in this collective case study reflects the boundary spanning nature of WIL work, and the broader complicated nature of transitions through HE into professional arenas. If educators are able to mobilise WIL in proper alignment with professional opportunities, pathways for students to succeed at work will be forthcoming.

Preparing professionals

Reid, Dahlgren, Petocz, and Dahlgren (2011) suggest that students transition from being expert students to novice professionals, and it has emerged in this study that the educator is critical in mobilising this process. However, this is not a one -way relationship, with the student as primary beneficiary. Scanlon (2011, p. 76) suggests there is a 'mutual interplay between the institutions of higher education and the students and teachers that populate them'. Such complicated relationships in complex environments demand that it is not only important the impact of education on people is considered, but the impact of people on education (Scanlon, 2011). Students' impact upon their own educational outcomes through lack of commitment to their studies was experienced by Penny in her WIL work. Marshall (2018) notes that students experiencing time deficiencies presents a significant problem for HE institutions. He suggests that overwork can be an issue in some disciplines, however, the responsibility lies with the university in preparing students, and providing relevant support.

In the case of WIL educators, their work has an important impact upon the student and their future professions. Their involvement is critical, but not singular in its effort. Students undertake a journey in WIL that is supported by many, and without the involvement of educators, as well as administrators, mentors and peers it is unlikely that a transition would be possible. Dahlgren (2011, p. 79) suggests that there is no 'natural identity' that can be bestowed upon others, and that 'the creation of identity is individual', and under 'constant challenge'. In this sense, the educator is not all powerful, which was reflected by the participants in this study.

Preparing professionals is fraught with complicated scenarios, impacted upon by economies and government imperatives, and the shifting demands of global, agile, susceptible work places Educators as negotiators, mediators and facilitators emerged as central to WIL work in preparing students for this dynamic environment. An educator, in a simple teacher-student interaction within one WIL educational experience, cannot bestow the desired professional identity or meet the professional challenges that such an environment presents. Educators work through such complexities by emphasising learning pathways, empowering and enabling them towards a professional future. This study's participants indicated the reflexive, responsive and at times spontaneous nature of the WIL experience. However, in sharing their experiences and perceptions, WIL educators have an opportunity demonstrate the influence of the people, of the students and the teachers, on education, and to influence the work of others in preparing professionals for the future.

WICKED WORK

Rittel and Webber (1973, p. 165) refer to problems as: 'discrepancies between the state of affairs as it is and the state as it ought to be'. The WIL experience can be similarly defined. WIL addresses the gap between education and work, and aims to address the student's growth from theoretical knowledge to practical and professional competency. WIL allows students to visualise the gaps in their knowledge and their competencies, and select pathways to fill them (Jackson, 2017). It is the work of the educator in WIL to assist students in realising a pre-professional identity, in enabling

professional socialisation and in presenting viable pathways through which they can become professionals.

Educators grapple with problems the gap between 'the state of affairs as it should be and the state it ought to be' throughout the WIL experience, as students experience the worlds of education and work and the spaces in between. These experiences, as articulated by the educators in this study, are rarely simple, and can be more accurately portrayed as 'wicked'. Drawing on Conklin (2003); Knight (2007) and Rittel and Webber (1973), Beckman (2017, p. 546) defines wicked problems as follows:

> These are problems that resist definition; that require you to think of all the possible solutions before you can even understand the problem properly; that are presented differently by different stakeholders, and shift shape even as you try to find out about them; that are not accessible to trial-and-error testing, because every tried solution generally involves a significant, potentially irreversible, change to the problem; and that, at best, are 'resolved' rather than 'solved'.

Educators in WIL wrangle with wicked problems: wicked problems are the focus of their work. The complicated, boundary-spanning, temporal and transitionary environments of WIL ensure that no experience is straight forward, involving multiple stakeholders with multiple priorities and necessarily multiple perspectives that complicate an already challenging environment. Such an environment ensures that the work undertaken by WIL educators to prepare professionals of the future is, indeed, wicked work. Much can be learned from the experiences of educators in this field, and as such, their voices should be heard.

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Table 1: Participant overview

Participant	Discipline	Previous profession/s	Highest qualification	WIL approaches
Penny	Media	Public Relations	Doctoral Degree	Industry placement, Project collaboration, Event networking, Simulations
Greta	Education	Primary teacher	Doctoral Degree	Industry placement
Charles	Agricultural science	Engineer	Doctoral Degree	Industry placement

Wicked work: Interdisciplinary impacts, professional projects and learning for transformation

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Abstract

This paper explores the nature of 'Wicked Work' in an age of interdisciplinarity. It builds on established interdisciplinary research to conceptualise what 'Wicked Work' might constitute in this context and how it might, and might not, be enacted under contemporary conditions of turbulence and change. In addition, by essentially asking what 'Wicked Work' might entail in an interdisciplinary context, the authors seek to better inform and direct academic participation in collaborative research through the account of an emerging international development research project. We highlight theoretical and practical issues associated with taming wicked problems and suggest how they go to the heart of how universities, as well as other institutions, should begin to address the complexity inherent in wicked problems.

Keywords

Wicked work; Interdisciplinarity; Professional projects; Learning

1.0 Introduction

It has long been recognised that opportunities for transformation emerge at the intersections of conflicting as well as complementary fields (Seo & Creed, 2002; Thornton, Ocasio & Lounsbury, 2012). The 2019 ANZAM Conference asks participants to consider the challenges wicked problems pose for management research and practice. Reflecting on the authors' experiences of tackling one of the United Nations Sustainable Development Goals, the paper highlights a number of theoretical and practical issues associated with taming wicked problems. The discussion goes to the heart of how universities, as well as other institutions, should begin to address the complexity inherent in wicked problems.

These types of issues create a basket of complexity for researchers involving multiple stakeholders, multiple locations, multiple domains of knowledge and multiple timeframes. Conversely, at the heart of the wicked challenge, is a deceptively simple problem: balancing between the need to encourage the development of ever-more specialist knowledge and the requirement to bring specialists together into fully integrated, interdisciplinary teams. Universities seem to be reasonably effective at encouraging deep sea diving for pearls of wisdom but generally fail the knowledge integration test. When it comes to interdisciplinary research, rather than the nirvana of equally co-labouring scholars from different institutions, traditions and perspectives working together to forge new knowledge, what tends to emerge are more restrictive and regressive scholarly spaces which thwart rather than encourage collaboration (Callard & Fitzgerald, 2015). An outcome of this situation is that instead of trying to address wicked problems the very enactment of interdisciplinarity has become a significant problem in its own right. Furthermore, universities must also move away from a restrictive conception of what interdisciplinary research entails and instead open up the academy to participation from other communities, whether professional, geographical or virtual. These other groups, in turn, need to be regarded less as research subjects and more as research partners if the complexity of wickedness is to be addressed.

To consider these challenges in more detail this paper explores the nature of 'Wicked Work' in what should be an age of interdisciplinarity. It builds on established interdisciplinary research to

conceptualise what 'Wicked Work' might constitute in this context and how it might, and might not, be enacted under contemporary conditions of turbulence and change. In addition, by essentially asking what 'Wicked Work' might entail in an interdisciplinary context, the authors (who are both based in a Business School) seek to better inform and direct academic participation in collaborative research through the account of an emerging international development research project. This interdisciplinary project is designed by the authors and uses public relations and management communication understanding, as well as anthropological design principles, to tackle engineering challenges in Africa. Through its focus the study therefore contributes to research on development communication (Paquette, Sommerfeldt & Kent, 2015), while its broader participatory sensibility supports a shift to systems of interaction (Taylor & Kent, 2014) and more co-creational approaches (Botan & Taylor, 2004). The article's core contribution lies, however, in its engagement in a process of problematisation which contextualises the challenge of interdisciplinarity to contest some of the underlying assumptions underpinning interdisciplinary research in a wicked context (Alvesson & Sondberg, 2011).

The discussion begins by setting out the theoretical framework guiding the strategic development and delivery of the authors' research project. This exploration considers key aspects of interdisciplinarity and explains how this understanding is used to shape the project's purpose and orientation. The article then embarks on a discussion of how the theoretical framework influences the project's emerging design. The authors' reflections on their experiences in this context leads to a new conceptualisation which points researchers in their own field and elsewhere in management science towards the importance of *learning to transform* for community, environmental and social good.

2.0 Why interdisciplinarity and what kind of interdisciplinarity now?

The answer to why interdisciplinarity at this stage is addressed academically by the publication within a decade of not just one but two editions of *The Oxford Handbook of Interdisciplinarity*, the first by Frodeman, Klein and Mitchum (2010) and the second by Frodeman, Klein and Pacheco (2017). Fuller and Collier (1994) provide the more practical answer to why interdisciplinarity by presenting

"*interdisciplinarity* as both a fact and as an ideology" (p. 29, italics in original). More importantly, they point out how interdisciplinarity arose as a partial solution to certain kinds of challenges, especially those of general public concern "not adequately addressed by the resources of particular disciplines" because those challenges "require that practitioners of several such disciplines organize themselves in novel settings and adopt new ways of regarding their work and coworkers" (Fuller & Collier, 1994, p. 29). In short, they conclude: "As a simple fact, interdisciplinarity responds to the failure of expertise to live up to its own hype" (p. 29). Since 1994, the general public challenges have intensified and interdisciplinary interventions are now having to keep responding - evident in the growing calls to exhibit impact - in the face of fast-changing and testing conditions.

In attempting to address these changes, our project opposes the wicked problem with good work In this case we draw from Gardner, Csikszentmihalyi, and Damon's (2001) foundational research on the conceptualisation and analysis of what constitutes good work (i.e., described as work of expert quality that benefits society) in different fields and how it can be enacted. Their book *Good Work* (Gardner et al., 2001), is subtitled by an additional description of good work as "*Where Excellence and Ethics Meet*." They further succinctly identify the necessary constructs of good work through the trinity of three "E's": excellence, ethics and engagement. Gardner et al. (2001) position the three E's as establishing a common core for enacting good work and "focus on what it means to carry out good work" that is "both excellent in quality and socially responsible - at a time of constant change" (p. ix). Later their book covers similar issues to those raised in interdisciplinary studies but at a meso level rather than a meta level: "As the forms of labor change, traditional safeguards for ensuring good work - from professional codes to trade unions - are no longer adequate" (p. 53) and new questions - of particular contemporary relevance to management researchers - arise: "How should traditional professionals trained to honor ancient codes respond to the opportunities and dangers posed by seismic global challenges?" (p. 54).

Building on Gardner et al.'s (2001) three founding themes: ethics (good and purposeful interventions for social impact), engagement (within and across fields), and excellence (melding expertise with

moral distinction), we ask what good work specifically might entail at this stage of an interdisciplinary age? We set out to find practice and research informed answers for better directing academic participation in collaborative research. Instead, we found that the beginnings of collaborative research helped us to better explore what was possible. It clarified for us good collaborative research should not only have the potential to generate revenue and commercial opportunities for academic institutions, but also to create the kind of progressive impacts that are sought by mainstream academic institutions internationally. Accreditation bodies, such as the US-based Association to Advance Collegiate Schools of Business (AACSB) have, for example, been running courses and conferences on identifying and measuring the impact of Business and Management Schools. The AACSB (2012) *Impact of Research: A Guide for Business Schools* includes impact as a key component to be satisfied by institutions seeking, or seeking to retain, AACSB accreditation.

Along similar lines, research excellence exercises, such as the latest 2018 New Zealand Performance Based Research Funding (PBRF) guidelines, specifies the introduction of the Research Contribution (RC) type called "Uptake and impact" designed to encourage:

> staff members to submit evidence of research application that are indicators of a vital, high-quality research environment. . . . [including] impact on policy, professional practice, or business processes, products, tools, or services as *indicators of the social, cultural, environmental and economic benefits* of the research. (p. 11, italics added by authors).

This trend toward including cultural, environmental and social impacts, post-dates the longer and substantial marketisation of research in Higher Education that faces multiple critiques for creating unproductive tensions for scholars and distorting decision making and research directions (Arvaja, 2018). Approaching these two trends in tandem, we take an appreciative and progressive perspective to "Good Work."

Since, from the 1970s, one of the three *Good Work* authors, Mihalyi Csikszentmihaly, has recognized, named, and published on what one later book called *Flow: The Classic Work on How to Achieve Happiness* (Csikszentmihaly, 2002). Not surprisingly, our team's joint research found that good work was not only producing best quality outputs, it was also about doing the right thing and feeling good about their work, even during hard times. The need for all good work, including good academic work, to have intrinsic value is a neglected research area. Personally, as we negotiated institutional imperatives, we found ourselves enjoying the process and began cultivating certain kinds of good work that could contribute to the following three specific areas of concern in our field: reducing the intellectual isolation of smaller fields - such as corporate communications and public relations (and many PR academics); increasing the quality of the conversations in the field (by talking with other different knowledge communities and widening our discursive range); and, raising the status of public relations and management communication in the wider academy and society.

Having established the theoretical architecture and aspirations for what we began to frame as 'Wicked Work', we looked to operationalise them. The paper's remaining sections consider the authors' reflections on its principles in the context of a collaboratively-designed interdisciplinary research project. This discussion is based on - and returns us to - the three core themes of ethics (good and purposeful interventions for social impact), engagement (within and across fields) and excellence (melding expertise with moral distinction).

3.0 Ethics: from engineering consent to engineering purpose

Beginning to work on this collaboration in 2018, two hundred years on from the 1848 publication of the *Communist Manifesto* of Marx and Engels, we used the coincidence to posit our attempt at "Wicked Work" as a kind of "Collaborationist Manifesto". As they traced their manifesto's origins to the spectre of communism "haunting Europe" (Marx & Engels, 1848/2017, p. 3), so the spectre haunting our project is the relative ineffectiveness of any one scholarly discipline in the face of the planet's environmental and equity challenges with the many associated wicked global and local

problems. The so-called father of PR, Edward Bernays, became infamous for an openly manipulative process that he called "the engineering of consent". We argue that, used transparently, with a positive intent to engineer worthwhile purposes, PR has much to offer in interdisciplinary contexts. Stakeholder engagement with the right stakeholders can be ethically good PR that resides at the core of wicked problem solving (Willis, 2016). Johnston and Pieczka's (2019) recent global research demonstrates how communication has become the technology of public interest - a term that lies close to the core of many wicked problems - and plays a role in constituting rather than just describing the situation. Their book considers a selection of wicked problems in the negotiation of the public interest within the context of various systems of governance with local, national and global dimensions - and sometimes all three. Health, community, environmental and economic issues appear in interest conflicts with wide resonance and hold the potential to scale wicked work to wicked problems of fragmentation and inequity - arising with, and beyond - national and regional boundaries.

However, for professions, such as engineering and public relations to succeed, a good and clear purpose is as vital from the outset just as Mourkogiannis' (2006) *Purpose: The Starting Point of Great Companies* identifies it as a key initial condition in businesses that succeed. Yet disciplines in general, and these two disciplines in particular, vary significantly in their stated purposes. As part of assembling our project we compared the declared collaborative approach, visionary outlook and global social orientation of the Royal Academy of Engineering (RAE) in Britain with the more inward-looking declaration of policy by the UK's Chartered Institute of Public Relations (CIPR). Under the policy heading, the RAE website in early 2019 sets out two aims. The first is: "to address the world's most pressing challenges, including climate change, energy and international security" and its associated "goal is to work alongside policy makers, industry stakeholders, government officials, and engineers from the developing world to discuss the vital importance of engineering" (RAE, n. d.). The RAE's second set states that: "Internationally the Academy's purpose is to develop impactful relations with other national academies; lead on debate and public policy projects; promote engineering capability and build capacity in developing countries" (RAE, n. d.).

The contrast with the more outward-looking altruism of the RAE on the policy page on the CIPR website is sharp. Opening with a rather self-congratulatory statement: “As an authoritative voice on the business and practice of public relations, the CIPR is dedicated to raising standards in public relations”, CIPR policy continues by combining the self-serving functionality with a sales pitch for their services: “Our best practice guides and toolkits, skills guides and collection of award-winning case studies are designed to [sic] public relations professionals in their continuing professional development . . . [which] complements our formal professional development offering of workshops, webinars (free to members) and qualifications”. Even the research is firmly focussed inwards with the functions intended for the membership and the impact restricted to the concerns of the PR profession. Moreover, the initial policy is restricted to national concerns - neither developing nations nor wider global issues merit a mention: “we regularly conduct research on issues impacting members and the wider profession, including our annual ‘State of the Profession’ survey - the most comprehensive analysis of public relations practitoners [sic] in the UK”. This myopic view of professional purpose is further reinforced by PR scholarship that narrows the field by focussing almost exclusively on PR’s contribution to organisational success, communication efficiency and “the overall standing of practitioners in the business arena” (Meyer & Leonard, 2014, p. 176).

This analysis complements Reed’s (2018) conclusion that as an emergent expert occupation, alongside others fields such as management consultancy and information management, PR corresponds with Ackroyd’s (2016) conceptualisation of a corporate profession. This way of thinking about their professional identity is characterised by a state of ‘in-betweeness’. This matters because corporate professions are occupations which are usually well remunerated, have a high status and an important social role, but where important aspects of prosocial professionalism are simultaneously absent. These missing links in the professional project include when individuals are “more aligned to the organization rather than the professional body” (Reed, 2018, p. 224). We would go further by suggesting that PR practitioners are further hamstrung by the orientation of professional associations which also look to organisations first rather than to society and, in doing so, fail to articulate good and purposeful interventions for social impact.

4.0 From ethics to engagement: forging a prototype professional project 1

Aligning with Pohl, Truffer and Hirsch-Hadron's (2017) conclusion that "addressing real-world problems" in general and wicked problems in particular, "is one of the purposes of integrative and collaborative research" (p. 318), we set out to illustrate one purposeful way forward for our field and so add tangible walking to our theoretical talking. Accordingly, this section reflects on our experiences in putting together an interdisciplinary team of researchers to tackle a socially complex wicked problem. From four current discipline homes of PR, leadership communication, mechanical engineering and international development, we found the key enabler for our collaboration was to design a research proposal to illustrate impact through identifying and tackling what Rittel and Webber (1973) popularised as wicked problems and that Pohl et al. (2017) clarified as:

> Problems in dispute across society such as violence, hunger, poverty, disease, and environmental pollution are called wicked because those involved - academic researchers as well as non-academic actors - may not agree on either the relevance of the problem and what is at stake, or on its causes and consequences, or on the type of strategy required. (p. 323)

In our project team, in early discussions too long to repeat here, we finally settled on the It is essential preparation in seeking to tame a wicked problem to recognise that interdisciplinary interactions typically take patience and time. Indeed, many PR practitioners are already well versed in Defila and di Giulio's (2017) advice on "Managing Consensus in Inter- and Transdisciplinary Teams": "By means of suitable procedures and methods, participants have to arrive at a shared view of a problem and how to deal with it" (p. 332). specific problem of how to encourage collaboration and effective action to address the challenges associated with improving community water supply in Africa. These discussions were particularly informed by the experiences of those in the team with prior experience in the continent. They also suggested this approach would fit into their learned experiences, based on their knowledge acquired in African conditions, of an overarching need for professional engineers to

better understand local needs prior to designing engineering solutions. The decision to focus on community water supply was also shaped by the understanding that the provision of clean water and sanitation is one of the 17 Sustainable Development Goals set by the United Nations (2015).

6.0 From engagement to excellence: forging a prototype professional project 2

The authors' disciplinary contribution to the project is to help maximise the social impact of engineers working in Africa by enhancing their collaborative project management capabilities and by widening understanding, and perhaps even reconstituting, community engagement. The particular communication focus comes in assisting engineers, through the development and delivery of their professional curricula, to better understand the initial conditions required for multi-stakeholder involvement in engineering projects (Willis, 2012). The objective of this work is to encourage more collaborative, collective and social forms of design. It is important to note, however, that these interventions were, more often, framed around notions of strategic communication and leadership development; and, consistently, through the lens of communities rather than corporations or institutions.

At this point, it is also important to emphasise that our team's approach to their wicked problem is underpinned by the understanding that disciplines and interdisciplinarity are essentially co-dependent. This is obvious at the foundational level since without disciplines, there can be no interdisciplinarity, but our provisional dialogues sparked insights into how lasting practical gains for researchers emerge from the mix of ideas and the willingness to experiment. This approach further supports Zahra and Newey's (2012) situation of academic entrepreneurship at the intersection of fields. In the African project, we shaped the mix of ideas and experimentation by deploying Miller's (2018) anthropology and design intersection. We found Miller (2018) offered practical strategies for engineers in the field and, as a spin off, recognised that her chosen intersection is a converging research zone (Gunn & Otto, 2013), with value for the project not least in an evangelical encouragement to open up to other fields and to restore a sense of wonder at what emerges:

> The silos of disciplinary practice have begun to give way to creating permeable boundaries that allow for cross-disciplinary encounters where speciality areas emerge and develop, for example, biochemical engineering or business and design anthropology. The dissolution of once clearly defined disciplinary boundaries has resulted in the need to explain these seemingly unlikely hybrids. It is the new exotic: strange, unorthodox, and even somehow wonderful. (Miller, 2018, p. 1).

7.0 Excellence: enacting wicked transformations

Since its coinage in 1973, the term "Wicked Problems", has gathered increasing acceptance as a useful way of categorising many of the complex, seemingly intractable, and yet unavoidable challenges carried over from the past (e.g., gender equity, peace in the Middle East) and intensifying today (e.g., climate change; unstable economic inequalities). As the term continues to gather recognition, so too have the range of responses. Camillus (2016) has evolved *Wicked Strategies* to deal with them effectively and Weber, Lach and Steel's (2017) *New Strategies for Wicked Problems* makes similar suggestions.

We suggest that these approaches go beyond conventional notions of competencies and fit better with more holistic and contemporary understandings of the concept. O'Hara and Leicester (2012), for example, emphasise the need for development, encouragement and support as a means of coping with rapid change, pace and complexity. In doing this, they make a critical distinction between what they call 20th century competence and 21st century competence. They identify 20th century competence by saying it:

- "is a "thing"; a quality of the individual
- can be taught or trained to different levels by following an appropriate curriculum
- can be tested, measured and graded in the abstract

- will ultimately win an economic return for both the competent individual and his or her organization or nation" (O'Hara and Leicester, 2012, p. 3). They go on to contrast it with 21st century competence using the *Delors Report's* (Delors, 1996) pillars of learning framework as:
- "learning to be
- learning to be together
- learning to know
- learning to do" (cited on p. 8)

O'Hara and Leicester (2012) further claim that "we must understand competence not as an abstract achievement but as 'the ability to meet important challenges in life in a complex world'" (p. 4). They conclude that:

> The advances we have made and the structures of education, socialization, professional training and accreditation we have put in place to replicate them at scale have been spectacular. We are not suggesting that the 21st century surgeon, for example, or any other professional, manager or specialist can dispense with a thorough technical grounding. What we are saying is that such competencies are no longer sufficient. (pp. 5-6)

In line with our exploration of wicked work, we too have drawn from, reconfigure and then extend, Delors' (1996) four pillars of learning to inform our understanding of excellence (expertise with a moral distinction) in this context.

The first pillar, learning to know, entails a broad general knowledge with the opportunity to work in depth on a small number of subjects. For us, this is essential practice for tackling almost any wicked problem. The second, learning to do, involves acquiring not only occupational skills but also the competence to deal with many situations and to work in teams. It, similarly, is a necessary modus operandi for any wicked problem engagement. The third pillar, learning to be, focuses on developing one's personality and being able to act with growing autonomy, judgment and personal responsibility.

This third pillar occurs as a natural outcome of working, albeit with at least some success, on a wicked problem; and the fourth, learning to live together, involves developing an understanding of other people and an appreciation of interdependence. While endorsing all four pillars as part of the journey of this research, we add a fifth pillar, *learning to transform*, which requires both individual and project change, and we focus its learnings through reflective work on potentially transformational wicked problems.

Enough knowledge of wicked problem-friendly processes already exists to call for participants to be at least familiar with, or willing to learn from the range of appropriate methods such as: action learning and action research (Raelin, 2012), appreciative inquiry (Cooperinder & Whitney, 2001), dialogue mapping (Conklin, 2006), emotional intelligence (Goleman, 2004), humble inquiry (Schein, 2013), and reflective practice (Schon, 1983). The next stage of our project involves evaluating the respective value of the methods, and seeks to explore what might be usefully added to that list (both for specific expertise for certain kinds of specific wicked problems and for more widespread use in wicked problems in general).

While we note considerable research exists on computer-assisted approaches to wicked problems, those are not part of this research. Instead, we draw from Grounded Theorists (Charmaz, 2000) by adapting their practice of independent scalers for coding verification. In our case, we aim to deploy qualified but independent assessors to judge the selection of projects as wicked problems; the scale of success, or failure, in solving these wicked problems; and to estimate the growth of the participants (who will also complete a self-evaluation checklist with 360 degree feedback components from others participating in their projects). The design is intended to enable examination of transferable learnings and possible correlations, albeit qualitative ones, between the success of the wicked problem project and the growth of the participants. Our focus is on learning through current tough challenges and capturing learnings from those rather than looking back to past data and projecting that into the future.

8.0 Conclusion: learning to transform as excellence

Reflecting on the project's initial explorations we find that our conception of excellence within the rubric of Wicked Work points towards: *learning to transform* for community, environment and societal good rather than to develop traditional organisation-facing functionality. Our project is therefore designed for engineering progress by providing an ontology of hope for communities and society, as well as our own field/profession. This orientation is, in turn, shaped by the other tenets of good interdisciplinary work which generate a sense of ethical purpose, while also fostering experimentation and engagement within and across academic fields.

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4: Health Management and Organisation
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Clinician-to-manager transitions in remote health work contexts: Lessons from a pilot study

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Clinician-to-manager transitions in remote health work contexts: Lessons from a pilot study

Abstract: *Connectivity and contemporary employment practices, together with the changing nature of how, where and when we work will impact the way in which frontline hybrid managers work into the future. Some health service organisations are already experiencing some of the anticipated challenges of contemporary hybrid clinician-manager roles. This exploratory pilot study examines the hybrid role of a clinician-manager in a geographically remote context. The remote clinician-to-manager transition was chosen because it exemplifies the nuances of managing nonconventional, insecure and flexible workforces. The four key areas identified were: preparation, support, clinical/managerial role conflict, and the work environment. The findings suggested that further research examining the benefits of relational management practices in supporting hybrid clinician-managers is warranted.*

Keywords: management development, hybrid, relational, clinician-manager, transition.

We live and work in a connected world. Globalisation, innovation and technology have changed the nature of how and where we work. For the first time in history, less than half of the civilian Australian population have permanent full-time jobs with leave entitlements (Carney & Stanford, 2018). Technology improves workforce mobility across the globe; and innovation continues to drive workforce flexibility. As a result, hybrid frontline manager roles, those roles where managers retain professional duties alongside their managerial responsibilities, are increasing. Little is known about how to support professionals for the competing priorities of the contemporary hybrid manager role, particularly where there is increased workforce flexibility, employment insecurity and reduced resources (Martens, Motz & Stump, 2018).

This study examines the hybrid role of a clinician-manager working in a geographically remote context. The clinician-to-manager transition is an excellent example of role conflict; where clinical duties prevail over managerial activities (Chandrasiri, 2015; Thompson & Henwood, 2016). The clinician-to-manager transition in a geographically remote context was chosen because it exemplifies the nuances of a nonconventional workforce, and the insecurity of flexible workforces. The setting for this study is geographically remote regions where high workforce turnover and less favourable work environments result in a mix of local, fly-in/fly-out, Agency and contract staff. While remote health workforce challenges are generally considered a remote health issue; it is proposed that remote workforce challenges are a window into the future for mainstream business as more flexible and insecure workforce solutions are implemented. It is imperative to understand how people successfully transition into hybrid managerial roles to create sustainable solutions for future remote service industry workforces. Hence, this exploratory study aims to learn more about the barriers and enablers for a successful clinician-to-manager transition when it occurs in a remote region.

Clinician-managers

Career progression for most professionals is from technical expert to manager, and health service career paths are no different. Some clinicians at the peak of their careers seek pathways to management. Others become accidental managers encouraged to take on management roles by their own manager, and/or their colleagues (Fulop & Day, 2010; National Rural Health Alliance (NRHA,

2004). In remote areas, clinicians frequently find themselves as accidental managers, appointed because no-one else is there at that time (NRHA, 2004). As a result, many clinicians commence management roles without any management training and/or relevant management experience. These clinicians quickly discover the stark reality that the skills and experience that made them an excellent clinician, do not give them what they need to be an effective manager (Spehar, Frich, & Kjekshus, 2015). Health service organisations often contribute to the presence of unprepared managers, with an analysis of recruitment advertisements for management positions in remote northern Australia, revealing that many organisations do not advertise for candidates with management qualifications and/or experience (Onnis, 2014, 2016).

Clinician-managers are nurses, doctors, or allied health professionals (e.g. psychologists) whose work activities are divided between a management and a clinical role (NRHA, 2004). The clinician-manager has two distinct roles despite usually being considered one role. They differ from Health Service Managers who spend 100% of their time engaged in management duties (NRHA, 2004). In remote regions, many clinician-managers are isolated 'clinically' as well as 'managerially.' When considered in a context of workforce shortages, high turnover, low retention, demanding workloads and isolation; this is a high risk environment for an inexperienced manager. However, this is a real scenario for many clinicians who are prematurely promoted into clinician-manager roles (NRHA, 2004; Onnis, 2019; Thompson & Henwood, 2016). It is a scenario in which they live and work with minimal management training and often with inadequate support (Onnis, 2014; Thompson & Henwood, 2016). For clinician-managers, training and support is vital because the skills and qualities that make good clinicians are very different to those that make good managers (NRHA, 2004; Spehar et al., 2015). This is not an issue restricted to health services. In general, it is becoming more common across the wider service industry arising from an increase in insecure employment leading to less access to employer-paid training, more frequent turnover and greater responsibility placed on the individual to be suitably qualified and competent.

Most of the current research about the hybrid clinician-manager focuses on urban hospital-based clinician-managers (Fulop, 2012; Fulop & Day, 2010; Kippist & Fitzgerald, 2009; Spehar et al.,

2015; Thompson & Henwood, 2016). Therefore, much of the current research is situated in urban hospitals where clinician-managers typically have access to training, peers, resources, and usually leave the hospital at the end of a shift to go home to family and/or friends. This is a very different scenario to the one in which many remote clinician-managers work. The isolation means that they are working in resource poor communities, that they rely on technology or travel vast distances to access training, and have no other managerial peer in close proximity. As a result, the hospital-based research does not adequately address the nuances of remoteness, and in the past what works in an urban hospital has not always worked in the remote context (Onnis, 2019). A few studies investigated the impact of the hybrid manager role at the micro-level focusing on identity, leadership and professional conflict (Currie & Croft, 2015; Fulop, 2012; Kippist & Fitzgerald, 2009). Some studies have investigated the hybrid manager at a meso-level, most notably the hospital-based clinician-manager (Fulop & Day, 2010). However, few studies have investigated the influences of roles and work contexts conducive to developing successful hybrid managers. Thus, the literature reveals that there is a need for further research about the hybrid manager roles and the transition into such roles (Spehar et al., 2015; Thompson & Henwood, 2016). Despite recognition that the clinician-to-manager transition influences retention and workforce sustainability, and the importance of both clinical and managerial competence in remote areas; this remains an under researched area.

METHODS

The pilot study used a qualitative, exploratory research design. A purposive sampling method was used to recruit clinician-managers working in remote areas of Far North Queensland (FNQ). The participants were recruited for the pilot study through an invitation appearing in the CRANAplus newsletters circulated from January to March 2019. Then, a snowball sampling method was used to invite further participants until a small sample of four participants were recruited. The participants worked in a clinical role prior to commencing a clinician-manager role, and were working in a geographically remote area in FNQ during the clinician-to-manager transition. The pilot study comprised four female participants who were fairly representative of the clinician-manager

population. A gender-balanced sample was not achieved due to the high proportion of females in clinician-manager roles in the region and the voluntary nature of participation.

The method for the pilot study comprises an initial interview, a series of reflective discussions supporting the clinician-managers development during the transition period and a final interview reflecting on the clinician-manager's development during the study. This paper reports on the first part of the pilot study where data were collected through the initial interviews with participants. A typical interview included: background (qualifications and experience), how and why they became a clinician-manager, barriers and enablers, and how/where they sought assistance. The interviews were recorded, transcribed and a thematic analysis was conducted using NVivo12. Subsequent analysis of the emerging themes identified four key areas that acted as either barriers or enablers for each participant as they commenced their clinician-to-manager transition in FNQ.

RESULTS AND DISCUSSION

Participants

The clinician-managers who participated in the pilot study transitioned from clinician to clinician-manager in a remote community or town in Far North Queensland. Three of the clinician-managers transitioned into the management role with at least ten years experience as a clinician (two in nursing, one in allied health) and the fourth transitioned into a clinician-manager role with less than five years clinical experience in nursing. The three clinicians who were in a later stage of their career described their transition as something that they were encouraged to do, and commented on the opportunity arising through being there at the time, saying 'I was encouraged to apply for the team leader job' and 'I decided that I could be better than some of the managers that I had seen, so I decided to put my money where my mouth was and have a crack at it.' Another explained,

> *I had that quite broad experience ... that's why I was considered. Also, maybe partially because there was a limited amount of people that were interested in going and working in [a remote Indigenous] community ... so the pool of people they would have been drawing from maybe was quite small. Anyway, I was really pleased to be asked.*

In contrast, the fourth clinician-manager aspired to be a senior health manager, an ambition that developed during her university study. She said, 'being in management is the pinnacle ... I've just always wanted to get into Exec.' This resulted in a more defined career path, including management training in an urban hospital which preceded her transition into remote health services.

Barriers and Enablers

The participants identified the barriers and enablers of a successful clinician-to-manager transition. The four key areas identified were: preparation and training for the role; support (from their manager and their team); clinical/managerial role conflict; and the work environment. Each key area was identified as being either a barrier or an enabler for a successful clinician-to-manager transition depending on whether it was absent or whether it was adequately addressed by the remote health service and/or the remote clinician-manager. The key areas identified were consistent with the findings of other studies (Fulop & Day, 2010; Lenthall et al., 2011; Onnis & Dyer, 2017; Spehar et al., 2012; Thompson & Henwood, 2016).

Preparation for the clinician-manager role

The lack of preparation for health professionals commencing management roles has been previously recognised (Fulop & Day, 2010; Spehar et al., 2012). In this study, one participant had a pathway to management that was more planned than the other three; however, all four found that the transition into the clinician-manager role in the remote health services organisation lacked the necessary preparation. One participant said that when she asked for time to have handover so that she would know what she was doing, the supervisor 'just laughed at me and said "Oh, you'll just have to wing it like the rest of us".' Another said 'the pre-training was missing ... as you became more senior as a clinician there wasn't anything that was going with that training that was preparing you to move up into the next role but also once you got into the role there was not anything formal around to help.'

Most of the participants explained that initially, 'you don't know what you don't know'; however, once the clinician-managers became more self-aware they found ways to supplement their knowledge through corporate services (e.g. Human Resources, Finance), management books, formal qualifications (e.g. post graduate study), Google searches, and some later had access to informal

internal training opportunities offered through their health service organisation. These usually involved travel to a regional centre or a larger town. A few participants said that the transition lacked sufficient orientation, suggesting that a better handover and orientation into the role would have improved their transition.

Support

All of the participants mentioned that the support, from both their line manager and their team, was vital for a successful clinician-to-manager transition (Onnis & Dyer, 2017). For three of the participants, their transition was from a member of the team to the clinician-manager of that same team. This scenario typically created challenges as they continued to work with team members as peers for the clinical component of their role. At the same time they were adapting to the managerial role where they now manage their former clinician colleagues. One participant explained this overlap saying that the initial challenges included, 'Doing the clinical [work] plus trying to get the handover from the team leader and then the transition ... I'm in the team leader job but I'm still finishing my clinical [work] to handover.' For two of the participants, one of their first tasks was to recruit someone to replace themselves, so they were under resourced from the start and could not reduce their clinical work until they had recruited a new clinician.

Furthermore, access to support from their line manager was impacted by the high turnover typical of remote areas. Where there is high turnover, typically people are either prematurely promoted and unable to manage the demands of the role, or those showing competence are quickly promoted to more senior roles (Pluchino, Rapisarda & Garofalo, 2010). This further contributes to the challenges of gaining the necessary support needed by clinician-managers, as one explained, she was told 'You'll get all the support you need. That's not a problem ... so, just as soon as I took that job ... the manager got a secondment, and then obviously [someone else] then stepped in and after a month [he] said 'I don't want to do this job anymore ... So then, he stepped out.' All of the participants described the impact of secondments, temporary and short-term appointments, and movement within the remote health service organisation and the region; all of which contributed to workforce instability, and reduced their access to support.

All four participants mentioned the benefits of mentoring. One participant commented on the lack of mentorship saying, 'nobody was prepared to mentor me and my line manager at the time didn't do anything to help with the transition'; and another commented on a conversation at an external training program where the facilitator asked, 'Why don't you have a mentor? And I said because nobody ever offered me one and where would you get one from here? And to be honest that's our problem in FNQ.' In contrast, two participants described the support that they had received as being helpful and mentioned people that they considered to be informal mentors and role models. While no-one had a formal mentoring arrangement in place for their management development, they all commented on the need to have someone when you are working in remote settings because you cannot talk to your team about it, so it can be very isolating. One participant captured the sentiment of all four participants in saying, 'I think that you get worn down if you don't have the support.'

Clinician/managerial role conflict

The impact of high turnover and poor retention in poorly resourced remote areas contributes to the complexity of the hybrid clinician-manager role (Humphreys, McGrail, Joyce, Scott & Kalb, 2012; Onnis, 2019; Onnis & Pryce, 2016). Participants highlighted the absence of role clarity, saying it is not clear 'what percentage should be clinical and what percentage is non-clinical so this is really tricky' and, another said that 'the Director would get frustrated if I wasn't accessible for other things but mindful that clinical stuff always comes first realistically because that's why we do our jobs.' This tension between clinical and managerial duties is influenced by professional identity, with one explaining that 'getting pulled back into that clinical, can take you away from the role as the manager. I would still like to do some clinical work ... I went to university ... I don't suddenly stop wanting to talk to clients.' There was no clear understanding from participants about the expectations of their senior managers about how they were to spend their time between managerial and clinical duties. This was further complicated when their line manager was not familiar with their work environment, and did not grasp the challenges of living and working 24/7 in a remote community with your team, and clients. However, it was quite clear that all of the participants put the clinical needs of their clients first (Thompson & Henwood, 2016).

Several studies have described the challenges of balancing the clinical and managerial responsibilities for the hybrid clinician-manager role (Fulop, 2012; Spehar et al., 2015). Building on published findings, other studies have also examined leadership and the hybrid role (Fulop & Day, 2010). As contemporary employment practices continue to move towards more flexible and insecure employment arrangement, the importance of role clarity and accessible contextualised resources prior to the onset of managerial difficulties increases (Di Fabio & Kenny, 2019).

Work environment

As highlighted previously, high turnover and workforce instability increased the number of people who were new and were learning their own jobs, which adds further pressure for new clinician-managers, especially in navigating systems, processes, networks and relationships. As one participant explained, 'It was like I was managing all of them, let alone the system. I couldn't get it done.' The participants thought that the transition would have been smoother if they could have chosen their own administrative support people, and had HR people more familiar with the remote context and the organisation's policies and systems at their disposal. However, the participants suggested that these challenges were a broader health service issue and not necessarily just about their understanding of the remote context. As a result, the isolation made clinician-managers feel that they were, as one participant explained, 'dragged in this stuff that wasn't even mine' when seeking assistance. Similarly, another said that 'if there's a policy or procedure I will follow that and then I will always go back to, well this is what the policy says and this is what we should be doing' but where policy was absent they depended on their own communication skills in trying to seek clarification about processes and systems from other areas of the organisation.

The remote context necessitates effective communication because often there is no in-person contact with other team members and line managers. The participants emphasised the benefits of regular ongoing meetings with line managers and the team, and the importance of trust where there was an absence of daily contact due to the vast distances over which the health service operates. Also, orientation and an adequate handover were highlighted as areas that could be improved if the clinician-to-manager transition is to be smoother. However, the participants emphasised the

challenges with handover, saying that often the previous clinician-manager left abruptly, because they were unwell, took personal leave before going, or the position had been filled by a series of short-term incumbents – all of which result in the new clinician-manager not having an opportunity to meet the previous incumbent for handover. As a result, they often walked into a work environment where everyone was working above or beyond their capacity to maintain safe practice for their clients but did not have the capacity to do anything more. One participant, having previously worked short-term in a clinician-manager role in a remote community described how much easier it was to transition into a clinician-manager role in FNQ. She said,' It is different ... there were two factors, one is [previous team leader] had been there ... adding a lot of processes and it was running [well] ... the key other factor was that there was an amazing Administrator ... 80% of the role was just administration and she had all of that running smoothly.' So, they were completely different experiences. The first time, an exhausted clinician-manager took sick leave and then did not return so she found herself walking into the office with paperwork 'flowing out of the drawers.' Whereas the second time, the previous clinician-manager had been there to handover, and everything was running effectively making for a smoother transition.

What can we learn from the pilot study?

The participants suggested that relationships and personal/professional networks were central to how well they navigated the challenges typical of the key areas that emerged in the study: preparation, support, clinical/managerial role conflict, work environment. The emphasis on relationships, communication and networks was consistent with the findings from other research conducted with remote health professionals (Lenthall et al., 2011; Onnis & Dyer, 2017). This is typical of a changing work environment where the focus shifts from transactional management to relational management. According to Di Fabio and Kenny (2019), relational competencies and emotional regulation are central to improved resilience and individual wellbeing, 'and are increasingly sought by employers for their contribution to organizational effectiveness in a rapidly changing global workplace.' With the work of Seligman's Positive Psychology at its core, Di Fabio and Kenny's (2004) study emphasised the role of relational psychological contracts in an environment where transactional psychological

contracts are impeded by short-term employment contracts, casualisation, labour hire and flatter organisational structures (Carney & Stanford, 2018; Di Fabio & Kenny, 2019). Within some traditional professions there may be opportunities for professional training guiding traditional career paths; however, this may no longer be at the forefront of organisational priorities as service industry labour is purchased to meet specific demands from a global pool of potential workers, rather than cultivated and nurtured by one organisation.

In the pilot study, the participants all had a high level of self-awareness, and described support seeking activities. Two of the clinician-managers proposed that they found it difficult when they first transitioned due to the lack of support, and being unfamiliar with the processes and systems. They all used policy when they were unsure to ease their anxiety with a given situation; and emphasised the value of existing relationships and professional networks including support from their immediate manager during their clinician-to-manager transition. Psychological Contract Theory (PCT) and Social Exchange Theory (SET) have previously been used to examine remote health workforce sustainability (Onnis, 2016; 2019) and appear to also be relevant theories to explore the clinician-to-manager transition. PCT describes an individual's beliefs about their employment relationship and 'what they think they are entitled to receive because of real or perceived promises' from their employer' (Bartlett, 2001, p.337). While the sample size is too small to draw conclusions, the disappointment and frustration shared by some participants may be partly explained by unfulfilled promises and the clinician-managers perceived obligations.

Similarly, SET which proposes two types of social exchange, Perceived Organisational Support (POS) and Leader-Member Exchange (LMX) appears relevant to the experiences described by the clinician-managers. POS focuses on the exchange relationship between the employee and the organisation and LMX emphasises 'the quality of the exchange between the employee and the supervisor and is based on the degree of emotional support and exchange of valued resources' (Ko & Hur, 2014, p.177). Some of the clinician-managers described an absence of orientation to their new role, and they all commented on the impact of the level of support they received from their immediate manager and the organisation more generally on their clinician-to-manager transition. Regardless of

whether they highlighted a supportive manager, or commented on the absence of support from their manager once they commenced the clinician-manager role, they all described their expectations and their perceived level of support.

The impact of high turnover and less secure employment practices, such as short term contracts, secondments and Agency staff was evident in the experiences described by the four participants in this study. The impact of these employment practices was beyond the scope of this pilot study; however, it is anticipated that they will be associated with transactional psychological contracts. Yet, the emphasis on the benefits of relationships and networking by the clinician-managers appear more aligned to relational psychological contracts where reciprocity may be rewarded by loyalty and organisational commitment. Hence, it is proposed that further research will not only contribute to the evidence-base for remote contexts, it will improve the depth of our understanding about clinician-to-manager transitions in contemporary health service organisations.

LIMITATIONS

This pilot study is limited by the small sample size. Also three of the four participants were from one field within the broader health service which occurred due to the snowball sampling method and the voluntary nature of the research. The field has not been disclosed to protect their identity given the study was limited to one region in Australia. For these reasons, the pilot study is being used to refine the exploratory research methods and to further our understanding of the barriers and enablers for the small group of clinician-managers based in Far North Queensland.

CONCLUSION

Given that their professional careers involve human services, and that in remote contexts health professionals live and work together within the remote community; relationship are deemed to be important for overall success and good health. With isolation comes an increased need to develop relationships and effective ways of communicating with others to seek the resources and information required to be an effective manager. For health service organisations, there is an opportunity to develop support networks and to create more supportive relationship-based work practices for remote and isolated health professionals, support staff and managers. As employment practices become less

secure and workforce flexibility increases; there is a need for further understanding about the impact of relational management practices when working with contemporary workforces.

With an increase in community health services being provided by non-government organisations (NGOs) who are often paid on a 'per occasion of service' system, and implementation of the National Disability Insurance Scheme, more and more health professionals will provide not only geographically remote health services (e.g. outback towns and islands) but also more community-based remote health services. As a result, health services will be provided remotely from a head office within regional and urban settings (e.g. at home or in community care). Hence, there is a need for further research into effective ways for those hybrid clinician-manager roles to manage remote health service workforces in light of contemporary employment practices, changing government funding models, and increased competition for limited resources.

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7.Leadership, Governance and Strategy
Delivered Session
Full paper presentation

EFFECT OF ORAGANIZATIONAL JUSTICE AND TRUST ON SUPPLY CHAIN PERFORAMCE

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7.Leadership, Governance and Strategy
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Full paper presentation

EFFECT OF ORAGANIZATIONAL JUSTICE AND TRUST ON SUPPLY CHAIN PERFORAMCE

Abstract:*This study aims to use the knowledge of social exchange theory combined with the multidisciplinary theoretical knowledge of management science and statistics to explore the influence and mechanism of organizational justice and trust on supply chain performance for enterprises. This paper proposes research conceptual models and research hypotheses based on that. The outputs empirically evaluate the impacting factors and results of supply chain management. Accordingly, organizational justice and trust can be recognized as crucial factors in building supply chain performance and help to promote a more stable and long-term collaboration mode between firms, and provides meaningful exploration for the development and innovation of manufacturing supply chain.*

Key words:organizational justice; trust; supply chain performance; collaboration

INTRODUCTION

From the regional and national levels, by reducing transaction costs and improving the competitiveness of the supply chain, it has become the core means to enhance regional competitive advantage. It can be seen that the supply chain is an important carrier for enhancing the competitiveness of enterprises in the process of globalization. According to the report on intelligent manufacturing in Chinain 2018, themain challenge for Asia the core of the world's manufacturing industry is whether it can still maintain its leading edge in the intelligent and digital revolution. China is also actively seeking breakthroughs. Nowadays, in the context of global integration, the competition between enterprises, especially manufacturing enterprises, is essentially the competition between supply chains. Supply chain is an advantage that enterprises cannot be copied and cannot be imitated. China's medium-sized and above-qualified and well-qualified companies account for only 44% of the supply chain data flow(Deloitte, 2018). Therefore, this ratio is clearly higher than the national average. It can be seen that the progress of the supply chain information flow interaction process of Chinese enterprises is still quite slow and complicated.

Mutual mistrust between companies leads to poor collaboration between companies upstream and downstream of supply chain nodes. An important factor that causes mutual distrust between enterprises is the injustice of the process of enterprise collaboration(Xu & Ma, 2000). There are many reasons for inequality, the most important of which is that companies do not consider the interests of upstream and downstream companies in the supply chain in order to seek their own development. The pursuit of justice in the process of collaboration has become the appeal of many companies recently.

At present, the literature on the relationship betweenjustice preference and supply chain performance in the academic world, especially the literature of empirical research, is relatively lacking.

The domestic scholars' research on justice preference mainly discusses how to solve the enterprise's pricing strategy and supply chain coordination problem by how to achieve the income balance between the upstream and downstream nodes of the supply chain. Fair collaboration affects the long-term relationship between the establishment and development of enterprises and upstream and downstream enterprises, and supply chain performance is the most comprehensive embodiment of collaboration. The academic community has studied more about justice and trust, and established different representative theoretical models. However, there are still some shortcomings in the research on the impact of organizational justice on enterprises and the impact mechanism.

Based on the above research background the complicated international trade environment in the new era in China, this study focuses on the organizational justice of the upstream and downstream enterprises in the supply chain and the impact of trust on the performance of the supply chain. Explore the mechanisms and conduction paths of this effect.

THEORETICAL DEVELOPMENT ANDHYPOTHESES

Organizational Justice and Its Dimensions

The core idea of social exchange theory points out that the most satisfactory communication relationship is justice(Kumar, Scheer, & Steenkamp, 1995). In practice, organizational justice is getting more and more attention. Cases of the breakdown of partnerships between companies due to unfair cooperation strategies are also abound(AsiaInfoServices, 2004).

In the early research, the perception of justice in interpersonal relationships stems from comparing one's input and results with others(Adams, 1965). Later he promoted justice in business relations. Research by scholars claimed that the analysis of this concept can be traced back to the era of Plato and Aristotle(Barretthoward & Tyler, 1986). This study further pointed out that the perception of justice is not only limited to individuals, but also plays an important role in the process of corporate transactions. In the empirical research, the current academic representation of the organizational justice dimension is no single. According to the research category direction and field, the organizational justice is divided into the following categories:

(1) Two-dimension Theory

Scholars divide organizational justice into two dimensions: procedural justice and distributional justice. Take the example of a typical research, which aims to reveal the relationship between cooperation, trust and sustainability, and to reveal whether trust and sustainability are nested in cooperation(Kim, Lee, & Lee, 2017). The study argues that justice is the most important cause of trust, and justice can create more effective and high-quality partnerships. The process fair describes the justice of the company and its people and partners anddistribution justice defines how partners ensure that inputs are commensurate with their returns and ensure a satisfactory level of cooperation(Barretthoward & Tyler, 1986).

(2) Three-dimension Theory

Research on organizational justice is often concentrated at the micro level, resulting in a lack of a higher level of perspective, such as cooperation between multiple companies(Konovsky, 2000). On the

other hand, the supply chain itself can be seen as a network system that brings together multiple organizations. It is also the communication between the company and the company and the communication between people that constitute the flow of information in this network system(Zapata, Carton, & Liu, 2016). Therefore, on the basis of two-dimensional theory, certain research adds a social justice to organizational justice(Bies & Moag, 1986). That is, the division of organizational justice becomes: procedural justice, distributional justice, and social justice or interactive justice. In addition, the third dimension of justice, IJ, is anchored in the idea of social exchange, social justice can positively influence procedural justice and distribute justice and enhance the effects of both(Luo, 2007).

(3) Four-dimension theory

After decades of research, many scholars have divided the justice into four dimensions in the research on the basis of predecessors: procedural justice (PJ), distribution justice (DJ), social justice (SJ) and information justice (IJ). Generally, procedural justice and distribution justice are defined as structural dimensions, and communication justice is defined as social dimension. Justice plays an important role in managing the supply chain in the supply chain,however, in the case of limited resources, both parties should give priority to procedural justice and information justice. Because the research results show that these two dimensions have the most significant impact on the performance of cooperation between enterprises(Liu, Huang, Luo, & Zhao, 2012).

The division of different dimensions has been recognized by scholars at home and abroad, and only different dimensions are selected according to the content and dependent variables. This paper summarizes the dimensioning of organizational justice and the corresponding research conclusions in the research of representative foreign scholars in recent years, as shown in the following table 1.

Insert Table 1 about here

Organizational Justice and Supply Chain Performance

Based on the fact that the dependent variable is supply performance and combines the national conditions of Chinese society, the factors involved include both structural and social factors. Therefore, this paper adopts four-dimensional theory in the division of organizational justice, which divides organizational justice into procedural justice. Distribution justice, communication justice and information justice. Combined with the actual situation of this paper, referring to the summary of organizational justice, we divide organizational justice into four dimensions: procedural justice (PJ), distribution justice (DJ), social justice (SJ) and information justice (IJ). Procedural justice refers to whether the two parties are aware of the process and their controllability to the program in the process of cooperation(Kim et al., 2017); the justice of distribution refers to the perception of whether the two parties' inputs and outputs are balanced with each other; it is worth mentioning that the justice of distribution is a concern about whether the resource allocation is balanced, and the procedural justice dimension is the concern about whether the resource allocation process is fair. Compared with the first

two dimensions, the social justice dimension and the information justice dimension are fair social manifestations, because these two dimensions are the perceptions of the representatives of the participating companies in the process of communication in the process of perceived cooperation(Luo, 2007). Therefore, it is necessary to explore the justice of supply chain node enterprises in the process of cooperation through empirical research. we posit those following hypotheses:

H1: Justice has a significant positive effect on Supply chain performance

H1a: PJ has a significant positive effect on Supply chain performance

H1b: DJ has a significant positive effect on Supply chain performance

H1c: SJ has a significant positive effect on Supply chain performance

H1d: IJ has a significant positive effect on Supply chain performance

Trust and Supply Chain

Highly competitive pressures are driving companies to shorten product lifecycles, increase product offerings, and adapt to technological changes faster than ever before. These all contribute to the operation of the supply chain. Building trust relationships has become an advantageous way for companies to promote supply chain operations. In management, sociology, and even marketing, there are many research literatures on trust and research at home and abroad. In the past 20 years of literature, economists and management scientists and psychologists in different disciplines have defined the concept of trust. Due to different points of view or different research objects, the academic community has not yet formed a completely unified concept. How does the academic community define trust in the field of supply chain management? This article summarizes this. In the literature on the trust between enterprises in the supply chain system in the business environment, for the definition of trust, this paper selects several representative articles and summarizes them in chronological order, as shown in table 2.

Insert Table 2 about here

From the research in the above table, it can be concluded that the core of trust is the perception of the reliability and goodwill of other members of the supply chain system. Based on past experience, it is the reliability of the partners' future decision-making whether they consider the best interests of each other; in the unknown case, it is considered good intention that the partner's decision will not harm the common interest.

In the literature of empirical research, the literature research perspectives on trust issues among supply chain nodes are very diverse. The more mainstream research perspectives are: the impact of trust on firm performance; the relationship between trust and competitiveness; and the relationship between trust and information sharing(Wang, Craighead, & Li, 2014). In the design of conceptual models, there are studies that use trust as an independent variable, and some studies use it as a mediator variable. The overall conclusions of the literature can be summarized as trust has a very significant correlation with

the cooperation between enterprises, and can affect the overall operation of the supply chain(Svensson, 2004). It is studied that the concept of trust as a mediator to explore the relationship between "supplier-client" relationship identification and supplier-specific investment in partnership. The higher the trust of the buyer, the higher the level of special investment of the supplier, the higher the level of information sharing, and the close relationship between trust and corporate performance(Ian Stuart, Verville, & Taskin, 2012). Researchers explored the relationship between dependence and trust on supply chain integration and corporate financial performance through questionnaires. The results show that trust has a significant positive impact on supply chain integration; Impact can indirectly affect performance through trust. Knowledge sharing is achievable when the business partners involved successfully build trust and build long-term partnerships(Zhang & Huo, 2013). Research of (Fawcett, Jones, & Fawcett, 2012) believes that trust is the core of supply chain collaborative innovation capabilities, and supply chain alliances without trust base cannot continue to operate. At the same time, the research results also confirm that trust, like a catalyst, can stimulate the innovation ability and competitiveness of the supply chain.

Previous studies have confirmed that organizational justice in the process of cooperation can make the relationship between the two parties more stable and longer-lasting; similarly, existing research has confirmed that trust is a crucial factor for upstream and downstream enterprises in the supply chain(Laeequddin, Sardana, Sahay, Abdul Waheed, & Sahay, 2009). Companies that trust each other tend to get higher returns. That is, trust can have a significant impact on the operation of the enterprise, but it is still unclear whether the organization's fair perception can have a significant impact on the overall operation of the enterprise and the upstream and downstream of the supply chain.

H2: Trust has a significant positive effect on Supply chain performance

H3: Trust plays a mediating role between organizational justice and supply chain performance.

DATA ANALYSIS AND RESULTS

Sample and Data Collection

This study focuses on the relationship between organizational justice and trust and supply chain performance in the process of cooperation between supply chain systems. Based on the scale used in the previous research and combined with the actual development of domestic enterprises, the question for measuring each variable is designed on the premise of ensuring the reliability of the scale. The Likert score sheet is generally accepted by the academic community. Therefore, the research questionnaire in this paper uses the Likert 7-point scale to measure each variable.

The question items of the organizational justice selected the items used in the (Sun, Liu, & Yang, 2018), the question items of the trust part came from the literature(Ian Stuart et al., 2012); and the items of supply chain performance came from the literature (Huo, Qi, Wang, & Zhao, 2014). By combing domestic and foreign research, based on the existing scales, the questionnaire for this study was initially formed. In order to avoid content omissions or unclear statements, the author conducted a small-scale expert interview and consulted professional opinions. The feedback is mainly focused on the repetition of the content of the question and some questions are easy to make the respondent ambiguous. Combined

with feedback from expert opinions, some problems were modified and deleted. This makes the questionnaire easier to understand and more suitable for the actual situation of Chinese enterprises.

The respondents of this study are mainly senior practitioners of manufacturing enterprises who are familiar with the company's internal and external business, including procurement, manufacturing, distribution and other processes. These include senior corporate managers, shareholders, purchasing executives, department managers, and CEOs. Under the commitment of the questionnaire data to absolutely protect corporate privacy, respondents are encouraged to provide accurate and objective answers. The questionnaires of this study were mainly distributed in three forms. First of all, face-to-face interviews. 50 questionnaires were distributed and collected. Second, questionnaires were filled out by telephone interview or email. 100 copies of this questionnairewere distributed and 89 copies returned. The third is to collect data through the Internet. This part of the questionnaire is distributed 200 copies. 117 copies. The three complementary data collection methods can enrich and expand the characteristics of respondents and benefit data diversification, so that the actual situation can be more realistically reflected. A total of 350 questionnaires were distributed in this data collection work, and 205 questionnaires were collected. Table 1 provides a summary of demographic characteristics of respondents. As shown in Table 3, data were obtained from respondents in a wide variety of manufacturing firms, and the respondents represent a wide variety of backgrounds.

Insert Table 3 about here

Measure Reliability and Validation

The structural variables and their measurement indicators used in this study are derived from research or field research in different fields and backgrounds, so strict procedures are needed to test their availability in the context of new research. Before the data is collected, the content validity is guaranteed by the predecessors' literature, interviews with the respondents and pre-surveys. After collecting the data, a systematic analysis is required and the reliability and validity of the structural variables and observed variables are tested.

The Cronbach coefficient is a widely accepted measure of measurement reliability. When it is above 0.70, the reliability is good. After testing, shown in Table 2 the reliability of the variables used was distributed between 0.872 and 0.928, both above 0.70, indicating that the measurements are believable.

Inset Table 4 about here

Before extracting the factor, the KMO Measure of Sampling Adequacy Bartlett Test of Sphericity is used to verify the correlation between the variables and whether the sample data is suitable for factor analysis. An exploratory factor analysis of the constructs was conducted to ensure the unidimensional of the scales. A principal component factor analysis with varimax rotation was used to detect the underlying dimensions. The results showed that all of the items were loaded on the specific factor they were intended to measure.

The factor analysis of 32 measurement items in this study was carried out by principal component analysis. Five common factors with eigen roots greater than 1 were extracted, which explained the

overall variance of 70.094% of the population variance. As shown in the table below, the factor 1 explained the variation 31.552%, the factor 2 explained the variation 20.783%, and the factor 3 explained the variation was 18.924%, the factor 4 explained the variation of 12.185%, and the factor 5 explained the variation of 10.03%. As shown in Table 5, The four variables of the observed variable "procedural justice" and the four variables of "distribution justice" are clustered together, indicating that the respondents are closely related to the process justice of the representative process and the justice of the representative resources when perceiving the enterprise cooperation process. This also fits into the structural dimension of dividing the two dimensions into organizational justice in previous studies. Since the two observed variables of the respondents are perceived from the final result of the cooperation of the enterprise, the study combines the two observed variables as "outcome justice".

Insert Table 5 about here

Through factor analysis, the content of each dimension of organizational justice has a clearer division. Therefore, on the basis of factor analysis, the research model is revised and some research hypotheses are corrected. The revised model is shown in the following figure 1:

Insert Figure 1 about here

SEM Analysis and Result

In this study, the organizational justice as an independent variable, the trust of the mediator variable, and the supply chain performance as a dependent variable are all included in the structural equation model to verify the causal association of the three relationships. AMOS21.0 is the software used in this study for the analysis and verification of structural equation models. The model card square degree of freedom ratio X2/df is 2.01 (<3), which indicates that the theoretical model of this study has a good fit. The GFI and NFI values are close to 0.90; the IFI value is 0.921 (>0.90), and the CFI value is the 0.920 (>0.90) and RMSEA values were 0.071 (<0.10), both within the reference range, indicating that the model fits well. It can be seen that the initial model has been significantly improved after the correction. The normalized path coefficients and significance levels between the revised model variables are shown in the figure 2 below.

Insert Figure 2 about here

The most popular method of testing the mediating effect is the step-by-step method, but in recent years it has been criticized and questioned, and it has been directly tested by the Bootstrapping method, which is generally considered to be better. Therefore, this study used the Bootstrapping method to verify the mediating effect separately. If the Bootstrap confidence interval does not contain 0, the corresponding indirect, direct, or total effect exists. Run the Bootstrapping method in AMOS 2000 times, and get the level of Bias-Corrected and Percentile at 90% confidence level, as shown in table 6:

Insert Table 6 about here

DISCUSSION

Organizational justice and supply chain performance

The research data partially supports Hypothesis 1 “Organizational justice has a direct positive impact on supply chain performance.” According to the results of exploratory factor analysis, the four dimensions of organizational justice are procedurally fair and distributed equitably clustered together to form a new factor nomenclature. For the result is fair. In order to verify the effect transmission path of the three dimensions of organizational justice on supply chain performance, the structural equation model is used to test. The results show that only the three dimensions of organizational justice have a significant relationship with the performance of the supply chain performance. The standardization coefficients of the relationship between information justice and enterprise supply chain performance are 0.275 and 0.070 respectively. From this result, it can be seen that the results H1a and H1c are supported by the empirical data. Therefore, hypothesis 1 organizational justice has a direct positive impact on supply chain performance. The results of exploratory factor analysis show that, unlike the two-dimensional theory, three-dimensional theory and four-dimensional theory proposed by the predecessors for organizational justice, the procedural justice and the distribution justice are clustered together to form a new factor named as fair. These three factors can better reflect the connotation of organizational justice. The justice of the results includes procedural justice and justice of distribution. It mainly refers to the perception of justice of the transaction process and resource exchange during the transaction process of the supply chain node. Communication justice and information justice refer to the information of the enterprise during the cooperation process. Exchange and people and contacts.

Trust and supply chain performance

The research data partially supports hypothesis 2 “Organizational justice has a direct positive impact on trust.” To verify the effect conduction path of trust in the three dimensions of organizational justice, the structural equation model is used to test, and the results show that the three dimensions of organizational justice Only the path of communication justice and trust is not significant. The standardization coefficients of the justice and information justice to the supply chain performance of the enterprise are 0.618 and 0.345 respectively. The results show that the results H2a and H2c are supported by the empirical data. Therefore, hypothesis 2 organizational justice has a direct positive impact on trust. From the path analysis results of the structural equation model, it can be concluded that in the process of cooperation between supply chain nodes, the two dimensions of organizational justice information justice and outcome justice can have a significant positive impact on trust; in addition, the results can be fair Significant positive impact on a company's supply chain performance. This result conveys a wealth of information: it shows that most companies are results-oriented, focusing on the allocation of resources and the efficiency of the process in the process of cooperation, which is essential for the normal operation of the supply chain as a whole.

Mediation effect of trust

Hypothesis 4 “Trust plays a mediating role between organizational justice and supply chain performance”. Correlation analysis results show that trust and organizational justice have significant correlations with enterprise supply chain performance. In the structural equation model, according to the results of Bootstrapping, the values of the Lower and Upper values of Bias-Corrected and Percentile 95% CI are not within Contains 0, thus indicating that the mediation effect exists. This shows that

organizational justice can not only directly affect supply chain performance but also influence supply chain performance through the intermediary role of trust. This can also be reflected in the impact of information justice on supply chain performance. It is precisely because of the mediating effect of trust that the total effect of information equity on supply chain performance is greatly enhanced. It can be seen from the results of relevant analysis that all dimensions of organizational justice are related to supply chain performance, but information justice does not have a direct positive effect, but affects supply chain performance through the intermediary role of trust. The effect is tested.

MANAGEMENT SUGGESTIONS

According to the actual case of enterprise cooperation, there may be a large disparity in both the capital and the scale of the cooperation. Under such circumstances, the more powerful party often uses its superior position to propose some unequal conditions. This is a short-term behavior. Even if this approach may create benefits for the company in the short term, it is unfavorable in terms of the long-term development of the company. Once the market conditions change, the partners choose to terminate the agreement. Naturally, the consequences of product quality, fluctuations in delivery period and degradation of service quality are all borne by the company itself. Therefore, equal treatment means negotiating on the premise of equality and voluntariness, without forcing or deceiving the other party to accept the business that is unable or unwilling to accept and strictly fulfilling the obligations stipulated in the agreement.

The commonly used supplier management method is to evaluate the supplier's supply performance, rate the supplier according to the evaluation results, implement hierarchical management, update the evaluation regularly and adjust the procurement measures based on the evaluation results. This is an ex post control, but it is not necessarily obvious to prevent the release of mistakes and enhance the ability of partners. Extending its own schedule management to the supplier's production and logistics processes is the best way to ensure timely delivery. In addition, it provides guidance to partners' APQP and PPAP processes, providing technical support to improve logistics efficiency and reduce non-performing rates. Providing the necessary technical support and management assistance while rigorously rating suppliers can help the partners to deepen mutual understanding and trust, and the cooperation can be further deepened. Based on this, companies' expectations for high quality, low price, timely delivery of products and high-quality services can become a reality.

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Table 1 Dimensional division of organizational justice and research conclusions

Scholar	Research Object	Theory	Main Conclusion
(Brown, Cobb, & Lusch, 2006)	The influence of justice on satisfaction in supplier-wholesaler relationship	Two-dimension Theory	Justice in both dimensions can reduce conflict and distribution justice can increase satisfaction.
(Griffith, Harvey, & Lusch, 2006)	The impact of justice on supply chain partner attitudes and behaviors	Two-dimension Theory	Justice can promote long-term cooperation and reduce conflicts and increase satisfaction.
(Liu et al., 2012)	The influence of justice on the performance of second-order relationship under coupling behavior	Four-dimension Theory	Coupling behavior (knowledge sharing, relationship investment) is the intermediary between justice and relationship performance
(Narasimhan, Narayanan, & Srinivasan, 2013)	How to improve cooperation performance in an outsourcing environment	Three-dimension Theory	The three dimensions of justice can influence each other and improve relationship performance.
(Huo et al., 2014)	How to properly use justice to avoid the conflict of trust crisis	Three-dimension Theory	Suppliers have a selective use of justice to ease the trust crisis and improve the sustainability of the partnership.

Table 2 Definitions of Trust

Scholars	Definitions
(Lewicki & Bunker, 1994)	Trust is a positive expectation that involves another persons motivation for himself in a risk situation.
(McAllister, 1995)	Trust is a cognitive judgment of another persons ability or reliability of an individuals emotional bond with another person.
(Handfield, Ragatz, Petersen, & Monczka, 1999)	Trust is that every party in the supply chain is confident in the capabilities and actions of other members.
(Bachmann, 2001)	Trust between organizations depends on and is regulated by relationships embedded in the organization.
(Mui, Mohtashemi, & Halberstadt, 2002)	The agent is based on past expectations of subjective expectations of future behavior.
(Lui & Ngo, 2004)	It is expected that the partners will still perform the collaborative role if they are at risk again and both partners have such awareness and ability.
(Hill, Eckerd, Wilson, & Greer, 2009)	The company relies on its voluntary recognition and protection of the rights of its partners.
(Nyaga, Whipple,	Trust refers to the extent to which the relationship partners consider

& Lynch, 2010) each other to be trustworthy and benevolent.

Table 3 Descriptive statistical analysis of the sample

	Number of firms	Percentage (%)
Geographical location		
Pearl River Delta	39	19.4
Yangtze River Delta	36	17.6
Bohai Sea Economic Area	26	12.7
Central China	44	28.8
Southwest China	59	21.5
Industries		
Automobile	57	27.8
Chemicals and petrochemicals	25	12.2
Electronics and electrical	37	18.0
Fabricated metal product	18	8.8
Food, beverage and alcohol	17	8.3
Rubber and plastics	13	6.3
Textiles and apparel	38	18.6
Number of employees		
<100	10	4.9
101-500	12	5.9
501-1000	17	8.3
1001-5000	46	22.4
>5000	120	58.8
Firm ownership		
State-owned	63	30.7
Private	57	27.8
Wholly foreign-owned	46	22.4
Joint venture	39	19.0
Years in current position		
3-5	95	46.3
6-10	57	27.8
>10	53	25.9

Table 4 Reliability of the sample

Construct	Number of questions	Cronbach's alpha
Procedural justice	4	.872
Distributional justice	4	.903
Social justice	4	.869
Information justice	4	.907
Trust	8	.928
Supply chain performance	8	.919

Table 5 Factor rotation component matrix

Factors	Items	1	2	3	4	5
1	PJ1	**.733**	.252	.170	.139	.252
	PJ2	**.716**	.307	.229	.147	.263
	PJ3	**.710**	.277	.271	.185	.262
	PJ4	**.710**	.247	.123	.129	.355
	DJ1	**.751**	.181	.321	.265	.037
	DJ2	**.762**	.239	.285	.267	.181
	DJ3	**.789**	.203	.255	.213	.071

	DJ4	**.656**	.307	.290	.280	.004
2	SJ1	.421	.175	**.646**	.105	.287
	SJ2	.328	.196	**.766**	.277	.118
	SJ3	.222	.273	**.836**	.164	.212
	SJ4	.217	.479	**.714**	.175	.338
3	IJ1	.363	**.661**	.348	.397	.284
	IJ2	.330	**.791**	.306	.382	.211
	IJ3	.306	**.820**	.271	.304	.226
	IJ4	.276	**.834**	.157	.215	.171
4	TR1	.368	.310	.405	.097	**.831**
	TR2	.242	.170	.171	.156	**.689**
	TR3	.451	.342	.367	.327	**.858**
	TR4	.527	.282	.336	.189	**.884**
	TR5	.586	.268	.490	.148	**.879**
	TR6	.617	.280	.357	.257	**.864**
	TR7	.330	.202	.760	.086	**.741**
	TR8	.381	.264	.707	.098	**.724**
5	SCP1	.306	.721	.235	**.856**	.218
	SCP2	.236	.668	.374	**.787**	.210
	SCP3	.192	.812	.256	**.849**	.119
	SCP4	.270	.749	.096	**.851**	.257
	SCP5	.160	.762	.013	**.818**	.241
	SCP6	.255	.638	.188	**.734**	.064
	SCP7	.281	.582	.136	**.711**	.097
	SCP8	.160	.305	-.012	**.589**	.738

Table 6 Bootstrapping verification result

		Bias-Corrected		Percentile	
	Standardized effect value	90%CI		90%CI	
		Lower	Upper	Lower	Upper
IJ-Trust-SCP	0.302	0.152	0.589	0.165	0.617
OJ-Trust-SCP	0.169	0.432	0.848	0.391	0.799

Figure 1 Revised conceptual model by EFA

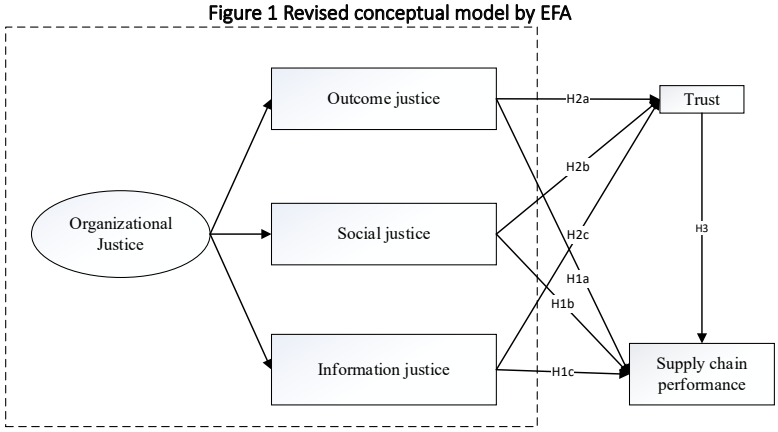
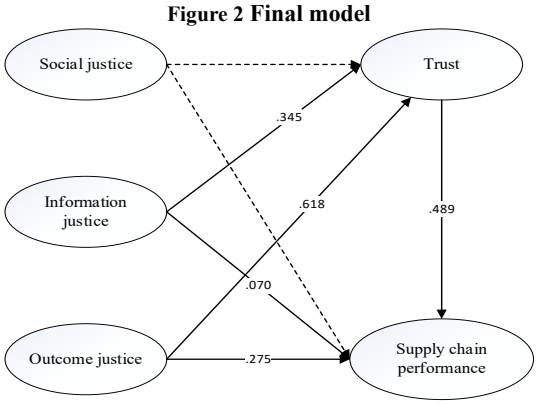


Figure 2 Final model



Stream 13. Sustainability and Social Issues in Management

Delivered Session

Critical Factors for the Adoption of Social Sustainability Practices in Vietnamese Handicraft Organisations: A Preliminary Study

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Stream 13. Sustainability and Social Issues in Management

Delivered Session

Critical Factors for the Adoption of Social Sustainability Practices in Vietnamese Handicraft Organisations: A Preliminary Study

ABSTRACT: *The adoption of social sustainability practices (SSP) in Vietnamese handicraft organisations is becoming increasingly important due to the pressure of sustainable development. The actual adoption of SSP, however, is discouraging. Drawing on the theory of diffusion of innovations and the institutional theory, this paper develops a conceptual framework for investigating the critical factors for the adoption of SSP in Vietnamese handicraft organisations from the integrated supply chain perspective. Such a framework is then tested and validated based on the data collected from a preliminary study of 185 Vietnamese handicraft organisations using a telephone survey. This study contributes to better understanding of the adoption of SSP in handicraft organisations.*

Keywords: Social sustainability practices; Sustainable development; Handicraft organisations; Critical factors; Technology adoption

INTRODUCTION

Social sustainability practices (SSP) are about the actions and procedures that an organisation adopts for improving its sustainability responsibilities in a specific situation (Tran, Deng, & Ong, 2018). They are related to labour conditions, human rights, working environments, community development, diversity, ethical behaviour, product responsibilities, and supply chain responsibilities that an organisation faces in their pursuit of competitive advantages in the marketplace (Mani and Gunasekaran, 2018; Shafiq, Johnson, & Awaysheh, 2019). SSP have been widely adopted in organisations due to numerous benefits that the adoption can bring including improved financial performance, increased competitive advantages, strengthened organisational reputation, and enhanced customer and employee satisfaction (Deng, 2015; Deng, Duan, Jie, & Fu, 2019).

The significant role that Vietnamese handicraft organisations play in the national economy has urged the adoption of SSP (Tran et al., 2018). This is because the sustainable development of such organisations leads to the creation of millions of jobs and contributes more than $2.1 billion annually to the national gross domestic product (Murray & Ton, 2018; Vietnamnews, 2017). Furthermore, the sustainable development of these organisations critically preserves the cultural identity and enhances the tourism industry (Unido, 2013b). As a result, tremendous efforts and specific initiatives have been taken for improving the adoption of SSP in Vietnamese handicraft organisations (Viri, 2015). This leads

to the use of an integrated approach to the adoption of SSP for improving the sustainable development of the handicraft industry (Unido, 2013b).

The adoption of SSP in Vietnamese handicraft organisations is unsatisfactory. The use of child labour, for example, is still reported (Murray & Ton, 2018). The poor working conditions are well documented (Mutrap, 2014; Viri, 2015). Furthermore, limited awareness of the requirements and expectations of stakeholders on the adoption of SSP is present (Unido, 2013a, 2013b). This shows the urgent need for better understanding the adoption of SSP in Vietnamese handicraft organisations.

Much research has been done for understanding the adoption of SSP in organisations with a specific focus on the identification of the critical factors from the perspective of integrated supply chains (Mani & Gunasekaran, 2018; Nakamba, Chan, & Sharmina, 2017). Hwang, Huang, and Wu (2016), for example, show that stakeholder pressures and organisational readiness are critical for the adoption of SSP. Huq and Stevenson (2018) find out that organisational attitude and stakeholder pressures are fundamental for SSP adoption. Mani and Gunasekaran (2018) reveal that customer pressures, government pressures, external stakeholder pressures, and stainability culture directly affect SSP adoption. These studies have demonstrated their merits in understanding the adoption of SSP in organisations from different viewpoints. There is, however, lack of empirical studies on SSP adoption in a holistic manner. Furthermore, little research for the adoption of SSP in Vietnamese handicraft organisations is available from the integrated supply chain perspective.

This paper investigates the critical factors for the adoption of SSP in Vietnamese handicraft organisations from the integrated supply chain perspective. A comprehensive review of the related literature has been conducted, leading to the development of a conceptual framework for exploring the adoption of SSP with respect to the theory of diffusion of innovations (DOI) (Rogers, 2003) and the institutional theory (Dimaggio & Powell, 1983). Such a framework is then tested and validated based on the data collected from 185 Vietnamese handicraft organisations using a telephone survey.

The remainder of this paper is organised as follows. A review of the related literature is first presented, leading to the development of a conceptual framework for exploring the adoption of SSP in

Vietnamese handicraft organisations. This is followed by the research methodology that this study adopts. A preliminary data analysis is conducted for testing and validating the proposed framework. Finally, the contributions of this study, their implications, and limitations are elaborated.

LITERATURE REVIEW

There are numerous studies which have been done for better understanding of the adoption of SSP in organisations. Such studies focus on identifying the critical factors for the adoption of SSP with a holistic view of the supply chains in organisations (Agarwal, Giraud-Carrier, & Li, 2018; Mani & Gunasekaran, 2018). They can be classified into three clusters including behaviour-based research, stakeholder pressures-based research, and readiness-based research.

Behaviour-based research is about the awareness, attitude, and commitment of individual organisations on the adoption of SSP (Huq & Stevenson, 2018). Such research examines various organisational behaviours in adopting SSP based on established theories such as transaction cost economics, self-determination, virtuousness, strategic choice theory, and planned behaviour (Huq, Stevenson, & Zorzini, 2014; Yuen, Wang, Wong, & Zhou, 2017). Huq et al. (2014), for example, show that the attitude of management in organisations is critical to the adoption of SSP. Mani, Agrawal, and Sharma (2015) find out that organisational awareness directly affects SSP adoption. Croom, Vidal, Spetic, Marshall, and McCarthy (2018) state that organisational commitment is instrumental to SSP adoption. All these studies have demonstrated that awareness, attitude, and commitment are influential to the adoption of SSP under various circumstances.

Stakeholder pressures-based research is related to understanding the impact of the pressure of stakeholders on the adoption of SSP in organisations (Agarwal et al., 2018). Such research employs the stakeholder theory, institutional theory, resource dependence, and utilitarianism to explain the adoption of SSP (Nakamba et al., 2017). Huq et al. (2016), for example, find out that labour pressures are strongly linked with the adoption of SSP. Agarwal et al. (2018) highlight supplier pressures as a major factor to SSP adoption. Mani and Gunasekaran (2018) demonstrate that government pressures have a strong

correlation with SSP adoption. These studies have shown that stakeholder pressures have fundamental impacts on the adoption of SSP in organisations.

Readiness-oriented research concentrates on examining the critical factors for the adoption of SSP with respect to the resources and capabilities preparedness of organisations towards the adoption of SSP (Walker & Jones, 2012). A variety of theories have been applied including the technology-organisation-environment (TOE) framework, DOI, resource-based view, and planned behaviour (Hwang et al., 2016; Yuen et al., 2017). Hwang et al. (2016), for example, demonstrate that knowledge readiness is critical for the adoption. Golini, Moretto, Caniato, Caridi, and Kalchschmidt (2017) state that organisational size and exportation orientation are influential for SSP adoption. Kiefer, Del Río González, and Carrillo-Hermosilla (2018) state that financial readiness is significant for SSP adoption. These studies show that organisational readiness critically influences the adoption of SSP in organisations. Table 1 presents a summary of the discussion above.

Insert Table 1 about here

There are several studies that have investigated the adoption of SSP in handicraft organisations. Sánchez-Medina, Corbett, and Toledo-López (2011), for example, suggest that organisational size, product innovation, and process innovation influence the adoption of SSP in handicraft businesses. Mare (2012) proves that organisational attitude, traditional culture, and customer pressures affect SSP adoption. Kharel and Middendorf (2015) indicate that organisational awareness and commitment, NGOs pressures, consumer pressures, and customer pressures are critical for SSP adoption. These studies are useful in explaining the critical factors for the adoption of SSP in handicraft organisations.

The discussion above shows that there are various critical factors for the adoption of SSP under different circumstances. There is, however, lack of empirical studies in examining the adoption of SSP in handicraft organisations in a holistic manner. Furthermore, there is little attention paid to the adoption of SSP in Vietnamese handicraft organisations from the integrated supply chain perspective.

A CONCEPTUAL FRAMEWORK

SSP are a management innovation (Tran et al., 2018; Zhu, Sarkis, & Lai, 2012). The adoption of such an innovation is significantly influenced by stakeholder pressures (Nakamba et al., 2017). It is further driven by organisational behaviour and readiness (Hwang et al., 2016; Yuen et al., 2017). This shows that the use of DOI and the institutional theory is appropriate for better understanding the adoption of SSP in Vietnamese handicraft organisations.

The use of DOI assumes that an organisation forms its awareness and attitude on the adoption of SSP (Johnson, 2015; Rogers, 2003). Organisational awareness is about the knowing of top management about the existence of SSP on the benefits of such adoption (Gadenne, Kennedy, & McKeiver, 2009). Organisational attitude is related to the feelings or beliefs of the top management towards the adoption of SSP (Johnson, 2015; Luo et al., 2017). This leads to the decision to adopt or reject SSP (Yuen et al., 2017). The decision to adopt SSP is positively influenced by organisational characteristics such as organisational commitment, financial readiness, knowledge readiness, and exportation orientation (Huq & Stevenson, 2018; Marshall, Akoorie, Hamann, & Sinha, 2010).

The institutional theory posits that organisations are motivated to gain legitimacy by adopting SSP with respect to external pressures from regulations and laws, professional standards, and societal and cultural contexts (Dimaggio & Powell, 1983; Mani & Gunasekaran, 2018). These pressures are classified into coercive pressures, mimetic pressures, and normative pressures (Chu, Yang, Lee, & Park, 2017). Coercive pressures come from governmental laws and regulations in which organisations are required to become more socially sustainable (Mani & Gunasekaran, 2018). Mimetic pressures are associated with the competition in the industry with regard to the adoption of SSP that forces organisations to imitate the adoption behaviour of competitors for success (Marshall, McCarthy, McGrath, & Claudy, 2015). Normative pressures come from the requirements and expectations of the public with respect to the adoption of SSP in organisations (Agarwal et al., 2018).

Figure 1 presents a conceptual framework for investigating the critical factors on the adoption of SSP in Vietnamese handicraft organisations. The framework hypothesises that the adoption of SSP

in organisations is critically driven by organisational behaviour, stakeholder pressures, and organisational readiness. It further hypothesises that the adoption of SSP is reflected by organisational awareness, organisational attitude, and organisational commitment.

Insert Figure 1 about here

Organisational awareness is about the consciousness of organisations with respect to the benefits of SSP (Gadenne et al., 2009). It is measured by boosted revenue, reduced costs, improved product quality, increased market share, strengthened reputation, and enhanced customer and employee satisfaction (Gadenne et al., 2009; Mani & Gunasekaran, 2018). Organisational awareness stimulates the socially sustainable compliance in organisations (Peng & Liu, 2016). This leads to the following hypothesis:

H 1. The organisational awareness positively influences the adoption of SSP in organisations

Organisational attitude is about the feelings and beliefs about the adoption of SSP (Yuen et al., 2017). Such an attitude is reflected by the feelings of satisfaction and responsibility and the beliefs about compatibility with the existing organisation's strategy and usefulness for the business (Luo et al., 2017; Yuen et al., 2017). Organisational attitude directly affects the adoption of SSP (Yuen et al., 2017). This leads to the following hypothesis:

H 2. The organisational attitude positively influences the adoption of SSP in organisations

Organisational commitment is about the efforts of organisations in promoting the adoption of SSP (AlKalbani, Deng, & Kam, 2014). It is measured through top management support, goal alignment, sustainability culture, and stakeholder involvement (Ahmad, Rezaei, Tavasszy, & de Brito, 2016; Croom et al., 2018). Organisational commitment can be critically translated into the adoption of SSP (Croom et al., 2018). This leads to the following hypothesis:

H 3. The organisational commitment positively influences the adoption of SSP in organisations

Stakeholder pressures are about the expectations and requirements of stakeholders about the adoption of SSP (Huq & Stevenson, 2018). They are reflected by government pressures, labour

pressures, market pressures, and supplier pressures (Nakamba et al., 2017). Government pressures are related to the concern of organisations about the role of the government in regulating the adoption of SSP (Marshall et al., 2015). They are measured through the severity of violation, active push, and intensification exerted by the government with respect to the adoption of SSP (Mani & Gunasekaran, 2018). Government pressures are coercive pressures for shaping the adoption of SSP in organisations (Agarwal et al., 2018). Such an argument leads to the development of the hypothesis as follows:

H 4. The government pressures positively influence the adoption of SSP in organisations

Labour pressures are the concern of organisations about labour expectations, requirements, and relationships with respect to the adoption of SSP (Huq et al., 2014). They directly influence the adoption of SSP in organisations (Huq & Stevenson, 2018). Thus, the following hypothesis is proposed:

H 5. The labour pressures positively influence the adoption of SSP in organisations

Market pressures are related to the concern of organisations about the expectations and requirements of the public, associations, customers, peers, competitors, and investors on the adoption of SSP (Agarwal et al., 2018; Mani & Gunasekaran, 2018). They affect the adoption of SSP in organisations (Huq & Stevenson, 2018). This leads to the following hypothesis:

H 6. The market pressures positively influence the adoption of SSP in organisations

Supplier pressures come from supplier expectations, supplier advances, business continuity, and supplier partnership with respect to the adoption of SSP (Chu et al., 2017). They play a positive role in pressurising organisations into being socially sustainable (Gadenne et al., 2009). The above argument leads to the following hypothesis:

H 7. The supplier pressures positively influence the adoption of SSP in organisations

Organisational readiness is reflected by financial readiness, knowledge readiness, and internationalisation readiness for the adoption of SSP (Yuen et al., 2017). Financial readiness is about the finance availability for the adoption of SSP in organisations (Huq & Stevenson, 2018; Roxas &

Chadee, 2012). It is critical for the adoption of SSP in organisations (Hwang et al., 2016). The above discussion leads to the following hypothesis:

H 8. The financial readiness positively influences the adoption of SSP in organisations

Knowledge readiness is related to the development of necessary expertise to adopt SSP in organisations (Walker & Jones, 2012). It is measured through top management capabilities, experience, adequate training, and availability of dedicated staff for such adoption (Huq & Stevenson, 2018; Yuen et al., 2017). Knowledge readiness is positively associated with SSP adoption in organisations (Huq & Stevenson, 2018). This leads to the hypothesis as follows:

H 9. The knowledge readiness positively influences the adoption of SSP in organisations

Internationalisation readiness is related to the transition of an organisation from a domestic firm into an international one (Tan, Brewer, & Liesch, 2007). It measures the extent to which an organisation shows its preparedness to undertake export activities in terms of market readiness, resources readiness, and top management readiness (Matiusinaite & Sekliuckiene, 2016; Tan et al., 2007). Export-oriented organisations are more likely to adopt SSP (Marshall et al., 2010). This leads to the following hypothesis:

H 10. The internationalisation readiness positively influences the adoption of SSP in organisations

RESEARCH METHODOLOGY

This study investigates the critical factors for the adoption of SSP in Vietnamese handicraft organisations from the integrated supply chain perspective. To achieve this aim, this study employs a quantitative approach to test and validate the proposed framework. The rationale for using this approach is two-fold. First, using a quantitative approach can better generalise the research findings to the whole population. Second, the use of such an approach can lead to more reliable and objective research results (Saunders, Lewis, & Thornhill, 2016).

The approach involves a telephone survey. The survey questionnaire consists of three parts, including the demographics questions about respondents and their organisations, the patterns of the

adoption of SSP, and the critical factors for such adoption in Vietnamese handicraft organisations. The items used in this study are assessed on a five-point Likert scale, with endpoints of 1 (strongly disagree) and 5 (strongly agree). The questionnaire is pre-tested with seven academic experts to ensure the content validity of the survey instrument. It is pilot-tested with the help of thirty handicraft organisations to ensure the reliability of the measures (Saunders et al., 2016).

An initial list of 1,000 Vietnamese handicraft organisations is obtained. The sample is then from the list by using probability sampling. The participants for the survey are owners and senior executives of Vietnamese handicraft organisations. The survey was administered between March and May 2019. The number of complete responses received is 185 at an acceptable response rate of 18.5 percent.

Table 2 presents a summary of the demographic characteristics of the Vietnamese handicraft organisations in the survey. They are from a diverse scale of handicraft organisations including 27.0% from micro-scale (<10 employees), 50.3% from small-scale (10-100 employees), 11.9% from medium-scale (100-200 employees), and 10.8% from large-scale (>200 employees). Regarding the export orientation, 71.9% of organisations have export activities. Noticeably, 41.6% of organisations have obtained standards, certificates, or management systems regarding the adoption of SSP such as Business Social Compliance Initiatives, European standard 71, Forest Stewardship Council, and Fair Trade.

Insert Table 2 about here

PRELIMINARY DATA ANALYSIS

This study follows the steps proposed by MacKenzie, Podsakoff, and Podsakoff (2011) to test and validate the conceptual framework. The first step involved the construct reliability analysis to assess the internal consistency of the theoretical constructs. It is followed by the construct validity analysis with the use of exploratory factor analysis (EFA) for discriminant validity and convergent validity of the theoretical constructs. The average variance extracted (AVE) and composite reliability (CR) are further examined to confirm the convergent validity and reliability respectively.

Construct Reliability

Construct reliability is about the extent to which a set of indicator variables generates stable and consistent results across multiple measurements (Nunnally & Bernstein, 1994). Cronbach's alpha is commonly used to assess construct reliability. It measures the internal consistency that identifies the extent to which the variables in a summated scale reflect the same construct and produce the interrelatedness among them. Cronbach's alpha value must exceed 0.70 to yield the accepted internal consistency of a construct (Hair, Anderson, Babin, & Black, 2014).

The Cronbach's alpha values are calculated for ten proposed constructs based on the data obtained as shown in Table 3. They are ranged from 0.822 to 0.967, in which seven of them indicate excellent reliability (>0.90) and three of them have good reliability. The results reflect the appropriateness of the survey instrument before proceeding to the construct validity analysis.

Insert Table 3 about here

Construct Validity

Construct validity is related to the extent to which a set of indicator variables produces a correct measure of the theoretical constructs (Hair et al., 2014). It is commonly assessed by two forms of validity, namely discriminant validity and convergent validity. The former is related to the extent to which the theoretical constructs are unrelated from each other. The latter is about the extent to which two measures of the same theoretical construct are related (Hair et al., 2014; MacKenzie et al., 2011).

Construct validity is assessed by conducting EFA with the principal components extraction method and the Varimax rotation method. The following criteria are considered to evaluate the appropriateness for running EFA. First, the sample size of 185 satisfies the requirement of minimum 5 cases per variable (Hair et al., 2014; MacKenzie et al., 2011). Second, the Kaiser-Meyer-Olkin (KMO) is greater than 0.5. Third, the Bartlett's test of sphericity is significant with the value below 0.05. Forth, factor loadings are set at the threshold value of 0.45 to ensure the adequate convergent validity (Hair et al., 2014). Fifth, the number of extracted factors to retain for a specific dimension in the conceptual

framework is constrained and based on the eigenvalue more than 0.7 (Field, 2013). Sixth, the cross-loadings are carefully examined with a display of 0.3 loading difference among factors at each variable to ensure the discrimination validity (Hair et al., 2014).

Table 4 presents the results of EFA for organisational behaviour. The initial 15 items are extracted into three factors. The total of explained variance is 74.040%. The KMO value is 0.926. The minimum eigenvalue is 0.865. All factor loadings are greater than 0.677. As a result, the construct validity of organisational behaviour is ensured.

Insert Table 4 about here

Table 5 summarises the results of EFA for stakeholder pressures. 15 items are retained from 16 initial items. Item MAR6 is deleted due to the cross-loadings. The second run of EFA produces four factors with the KMO value at 0.889. The minimum eigenvalue is 0.975. The total of explained variance is 80.647%. The factor loadings meet the minimum cut-off value of 0.45. These show strong evidence for the construct validity for stakeholder pressures.

Insert Table 5 about here

Table 6 summarises the results of EFA for organisational readiness. 10 items are retained from 11 initial items. The item KNO1 is deleted due to the cross-loadings. The second run of EFA yields three factors with the KMO value at 0.889. The minimum eigenvalue is 0.763. The total of explained variance is 83.900%. All factor loadings are above the suggested threshold of 0.45. These indicate the construct validity of organisational readiness.

Insert Table 6 about here

To further assess the convergent validity, the AVE is considered. An AVE more than 0.5 is considered significant for an adequate convergent validity. In addition, the Cronbach alpha's of retained items must be calculated to ensure the construct reliability. This value, however, is positively correlated with the number of items in a scale (Hair et al., 2014). As a result, the CR is further examined to estimate

the reliability of the theoretical constructs. In this regard, the composite reliability exceeding 0.7 is considered as an indicator of adequate reliability of the items (Nunnally & Bernstein, 1994).

Table 7 provides a summary of AVE, Cronbach's alpha, and CR estimates for 10 constructs of the proposed conceptual framework. All AVE values of the theoretical constructs are greater than 0.5, which indicate the acceptable convergent validity. Both the Cronbach's alpha and CR exceed the minimum acceptable cut-off value of 0.7, suggesting sufficient reliability of the theoretical constructs.

Insert Table 7 about here

This study confirms the multi-faceted clusters of the critical factors for the adoption of SSP in Vietnamese handicraft organisations from the integrated supply chain perspective. It suggests that stakeholder pressures are not sufficient for explaining the adoption of SSP. When it comes to institutionalising SSP, organisational behaviours including organisational awareness, organisational attitude, and organisational commitment are critical. This study has identified a comprehensive set of organisational readiness factors that cover financial readiness, knowledge readiness, and internationalisation readiness for improving the adoption of SSP. It is the first study that considers the significance of internationalisation readiness in the context of socially sustainable development.

This study contributes significantly to the social sustainability research in both theoretical and practical aspects. Theoretically, it incorporates DOI and the institutional theory in a single study for extending the understanding of the critical factors for the adoption of SSP in organisations. Practically, the framework provides managerial insights on how to improve the adoption of SSP in organisations from the perspective of integrated supply chains. It presents useful guidelines for sustainability practitioners and policymakers in their active pursuit of sustainability in the handicraft industry.

CONCLUSION

Understanding the adoption of SSP in Vietnamese handicraft organisations from the integrated supply chain perspective is of significance for sustainable development of the handicraft industry. This paper presents a comprehensive review of relevant literature on the adoption of SSP in organisations.

A conceptual framework grounded on the DOI theory and the institutional theory is proposed for investigating the critical factors for the adoption of SSP in Vietnamese handicraft organisations. The proposed framework is then tested for its reliability and validity based on the empirical data collected from a telephone survey of 185 Vietnamese handicraft organisations. The study shows the sufficient reliability and validity of ten extracted constructs, including organisational awareness, organisational commitment, organisational attitude, supplier pressures, market pressures, labour pressures, government pressures, financial readiness, knowledge readiness, and internationalisation readiness.

This preliminary study sheds light on aspects that have significant influences on the adoption of SSP in Vietnamese handicraft organisations from the integrated supply chain perspective. It, however, poses some limitations, thus paving some fruitful avenues for future research. First, the sample size of the study is small, suggesting a larger sample size to achieve more robust data for significant findings. Second, the confirmatory factor analysis should be performed to examine a series of tests including the model fit and the collinearity of the measurement model. This leads to the need for investigating the causal relationship between various constructs using structural equation modelling.

Stream 13. Sustainability and Social Issues in Management

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Table 1. A summary of the critical factors for the adoption of SSP

Cluster	Critical factors	Theories	References
Behaviour-based research	- Awareness - Attitude - Commitment	- Transaction cost economics - Self-determination - Virtuousness - Strategic choice theory - Planned behaviour	Huq et al. (2014); Mani et al. (2015); Marshall et al. (2015); Ahmad et al. (2016); Agarwal et al. (2018); Croom et al. (2018)
Stakeholder pressures-based research	- Government pressures - Labour pressures - Public pressures - Supplier pressures - Customer pressures - Peer pressures	- Stakeholder - Institutional - Utilitarianism - Resource dependence	Park-Poaps and Rees (2010); Huq et al. (2014); Marshall et al. (2015); Huq et al. (2016); Agarwal et al. (2018); Huq and Stevenson (2018); Mani and Gunasekaran (2018)
Readiness-based research	- Financial readiness - Knowledge readiness - Organisational size - Exportation orientation	- TOE framework - DOI - Planned behaviour - Resource-based view	Hwang et al. (2016); Golini et al. (2017); Kiefer et al. (2018); Yuen et al. (2017); Huq and Stevenson (2018); Mani and Gunasekaran (2018)

Table 2: Profile of Vietnamese handicraft organisations

Category	Description	Frequency	Percent	Category	Description	Frequency	Percent
Size	< 10	50	27.0	Exportation	Exporter	133	71.9
	10 - 100	93	50.3		Non-exporter	52	28.1
	101 - 200	22	11.9	Standard adoption	Adopter	77	41.6
	> 200	20	10.8		Non-adopter	108	58.4

Table 3: Cronbach's alpha reliability analysis

Dimensions	Constructs	No. of items	Cronbach's Alpha	Reliability strength
Organisational behaviour	Organisational awareness	7	0.925	Excellent
	Organisational attitude	4	0.895	Good
	Organisational commitment	4	0.895	Good
Stakeholder pressures	Government pressures	3	0.822	Good
	Labour pressures	3	0.905	Excellent
	Market pressures	6	0.907	Excellent
	Supplier pressures	4	0.967	Excellent
Organisational readiness	Financial readiness	4	0.921	Excellent
	Knowledge readiness	4	0.918	Excellent
	Internationalisation readiness	3	0.923	Excellent

Table 4: Factor analysis results for the organisational behaviour

Items	Items details	F_1	F_2	F_3
AWA3	Improvement of product quality	0.830		
AWA2	Savings of operating costs	0.801		
AWA4	Increase in market share	0.744		
AWA6	Enhancement of customer satisfaction	0.735		
AWA1	Growth of revenue	0.715		
AWA5	Improvement of organisation's reputation	0.683		
AWA7	Enhancement of employee satisfaction	0.677		
COM4	Active engagement with various stakeholders such as customers, employees, suppliers, the government, and NGOs		0.796	
COM1	Top management's engagement and allocation of adequate resources		0.759	
COM2	Holistic alignment between SSP policies and organisational goals		0.778	
COM3	Efforts in minimising the negative effects of the organisation's activities on individuals and communities in every decision and action		0.686	
ATT4	Belief about the usefulness for the business			0.792
ATT2	Feeling of responsibility			0.777
ATT1	Feeling of satisfaction			0.753
ATT3	Belief about compatibility with the existing organisation's strategy			0.727
	KMO (Barlett's Test)	*.926 (sig=0.000)*		
	Eigenvalue	*8.825*	*1.416*	*0.865*
	Total variance explained	*74.040%*		
F_1 = Organisational awareness, F_2 = Organisational commitment; F_3 = Organisational attitude				

Table 5: Factor analysis results for stakeholder pressures

Items	Items details	F_1	F_2	F_3	F_4
SUP3	The need for maintaining the business with suppliers	0.879			
SUP4	The need for cooperation and long-term relationships with suppliers	0.874			
SUP1	Supplier's expectations to adopt SSP	0.851			
SUP2	The wide adoption of SSP in key suppliers that may affect organisational operations	0.800			
MAR4	Competitor pressures		0.828		
MAR5	Peer pressures		0.787		
MAR1	Public pressures		0.692		
MAR2	Association pressures		0.673		
MAR3	Customer pressures		0.652		
LAB1	Worker's expectations to adopt SSP			0.879	
LAB3	The need for maintaining worker's relationships			0.826	
LAB2	Worker's requirements to adopt SSP			0.820	
GOV3	Government's increasing social efforts for improving the adoption of SSP in the next three years				0.868
GOV2	Government's support, namely legal environment, financial support, and training and education programs for improving the adoption of SSP				0.829
GOV1	Government's strict penalties and fines for non-compliance with laws and regulations related to SSP				0.668
	KMO (Barlett's Test)	*0.889 (sig=0.000)*			
	Eigenvalue	*8.266*	*1.628*	*1.228*	*0.975*
	Total variance explained	*80.647%*			
F_1 = Supplier pressures, F_2 = Market pressures; F_3 = Labour pressures; F_4 = Government pressures					

Table 6: Factor analysis results for the organisational readiness

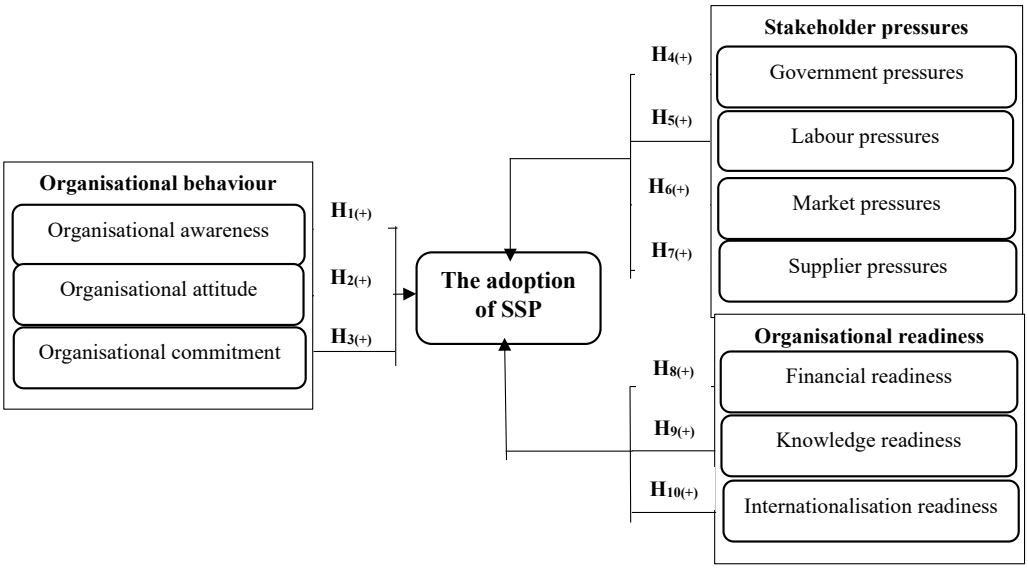
Items	Items details	F_1	F_2	F_3
FIN2	Sufficient financial resources for maintaining SSP	0.900		
FIN1	Sufficient financial resources for implementing SSP	0.889		
FIN3	Sufficient financial resources for improving SSP	0.840		
FIN4	The ease to raise funds from various sources such as financial institutions, NGOs, government, and investors for the adoption of SSP	0.785		
KNO3	Periodical provision of training and education related to SSP for employees		0.884	
KNO4	Availability of dedicated staff for the adoption of SSP		0.804	
KNO2	Top management's rich experience in adopting SSP		0.771	

INT1	Availability of unique and differentiated products that meet the expectations of customers overseas			0.868
INT3	Top management commitment towards export activities overseas			0.794
INT2	Adequate resources for overseas export activities, namely financial resources, qualified export personnel, capabilities, and experience			0.743
	KMO (Barlett's Test)	*0.889 (sig=0.000)*		
	Eigenvalue	*6.863*	*1.603*	*0.763*
	Total variance explained	*83.900%*		
F_1 = Financial readiness, F_2 = Knowledge readiness; F_3 = Internationalisation readiness				

Table 7: AVE, Cronbach's alpha, and CR

Dimensions	Constructs	No. of items	AVE	Cronbach's Alpha	CR
Organisational behaviour	Organisational awareness	7	0.551	0.925	0.895
	Organisational commitment	4	0.571	0.895	0.842
	Organisational attitude	4	0.581	0.895	0.840
Stakeholder pressures	Supplier pressures	4	0.725	0.967	0.913
	Market pressures	5	0.523	0.899	0.849
	Labour pressures	3	0.709	0.905	0.880
	Government pressures	3	0.629	0.822	0.834
Organisational readiness	Financial readiness	4	0.731	0.921	0.915
	Knowledge readiness	3	0.674	0.910	0.861
	Internationalisation readiness	3	0.645	0.923	0.845

Figure 1. A conceptual framework for the adoption of SSP



5: Human Resource Management
Refereed Interactive

Competing commitments and contextual challenges: The influence of management practices and HR outcomes on remote health workforce sustainability

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Competing commitments and contextual challenges: The influence of management practices and HR outcomes on remote health workforce sustainability.

Abstract: *When the demand for services exceeds supply, sustainable workforce solutions are essential for continued health service provision. This paper examines the influence of management practices and HR Outcomes on the sustainability of remote health workforces (SRHW). This quantitative study disseminated an online questionnaire to health professionals working in remote regions of northern Australia. The findings from this study provide further evidence that managers play a vital role in achieving the desired HR outcomes.*

HR outcomes moderated the relationship between management practices and the achievement of a SRHW providing valuable insights for health service organisations. *Therefore, where there are contemporary HR practice challenges and contextual considerations, effective management practices are critical to the realisation of sustainable remote health workforces.*

Keywords: sustainable, workforce, management, context, HR Outcomes

Globally, geographically remote regions traditionally have difficulties attracting and retaining the highly skilled health professionals necessary to provide health services to many of the world's most vulnerable populations (Russell et al., 2017; WHO, 2010; Zhao et al., 2018). In competitive markets, businesses strive for sustainable solutions, maintaining their competitive advantage through flexible, adaptable and innovative systems comprised of committed and engaged workforces. Where demand for health services exceeds supply, sustainable workforce solutions are paramount for continued service provision.

Previously, studies have examined workforce turnover and retention from a specific professional perspective, most frequently Nursing and General Practitioners (GPs); however, more recently studies have also examined high turnover of Allied Health Professionals in remote regions (Humphreys, McGrail, Joyce, Scott & Kalb, 2012; Opie et al., 2011; Russell et al., 2017; Zhao et al., 2018). A review of the literature about the challenges for health professionals working in Australia's remote regions found that 'some health professionals report significant negative personal impacts from the remote work experience, yet remain due to high job satisfaction and the rewarding aspects specific to working in remote areas' (Onnis & Pryce, 2016, p.52). Further, Opie et al. (2011, p.41) reported that '[n]urses working very remotely demonstrated higher levels of work engagement and job satisfaction' than their city counterparts. Despite these positive findings, many remote health services still experience high turnover and poor retention (Russell et al., 2017; Zhao et al., 2018). A few studies have highlighted the role of managers in workforce sustainability and the influence that frontline managers can have on the stability of the remote workforce (Hunter et al., 2013; Lenthall et al., 2011). These findings identify an under researched area. This study examines the influence of management practices and HR outcomes on remote health workforce sustainability.

The Harvard Analytical Framework for HRM describes four areas of HRM policy: HR flow, employee influence, reward systems and work systems, which result in four HR outcomes (Beer et al., 1984). The HR outcomes (commitment, competence, congruence and cost-effectiveness) have long-term consequences for both employees and organisations. Safdar (2012) notes that HR outcomes aim to develop mutual trust which improves individual and/or group performance at a minimal cost, while also achieving individual comfort, organisational effectiveness and societal wellbeing. Hence, an examination of the influence of management practices on these HR outcomes, contributes to the evidence-base about how critical these practices are for health workforce sustainability.

METHODS

This study was conducted in northern Australia with current remote health professionals who were invited to complete an online questionnaire. Remote was determined by the Australian Bureau of Statistics (ABS) categories for 'remoteness' which are defined by ‘how far one travels to access goods and services’ (ABS, 2003, p.2). For this study, the categories of *remote* and *very remote* were collapsed and together are described as ‘remote’ (ABS, 2003; Onnis & Pryce, 2016).

Probability sampling methods were used, the benefits of which include: obtaining a random sample of individual participants within the defined group (health professionals working in remote northern Australia); and obtaining a collectively representative sample of the population (Trochim, Donnelly & Arora, 2015). Eight organisations (two government health departments, two non-profit health service providers, two Aboriginal Community Controlled Health Organisations and two employment Agencies) provided their employees the opportunity to participate in the study by completing the online questionnaire.

Online Questionnaire

The questionnaire was distributed to health professionals working in remote regions of northern Australia from January-July 2014, and then the same questionnaire was distributed from January-July 2015. The high turnover of health professionals in remote regions meant that the sample size was greatly increased through the second distribution. As the same questionnaire was sent twice (one year interval), non-identifiable ID codes were used to ensure only one questionnaire was analysed for each

individual participant. The link to the online questionnaire was sent to health professionals working in remote regions via email by their employer. The data was collected through Qualtrics software and analysed using SPSS22 (Statistical Package for the Social Sciences (SPSS)) and Microsoft Excel 2003. IBM SPSS AMOS was used to conduct the path analysis.

A modified version of the three dimensional Ultrecht Work Engagement Scale (UWES-9) formed the first section of the online questionnaire. The subsequent sections of the questionnaire included modified questions from the Gould-Williams and Davies (2005), Schaufeli and Bakker (2003), Maertz, Boyar & Pearson (2012) and Maertz and Boyer, (2012) studies. A validation of the questionnaire was conducted to establish the validity and reliability of this questionnaire for this study with this particular population. In brief, a factor analysis (FA) was conducted to determine whether the sixty questions could be summarised as a smaller set of factors and Cronbach's alphas calculated to establish that they were reliable measures. The FA resulted in eight valid factors (measures) that explained 73.56% of the variance. The measures used in this study had a Cronbach's alpha ranging from 0.63 to 0.93 indicating sound to high reliability. In addition, a path analysis was conducted and the appropriate fit indices used to examine how well the model fits the data.

Measures

Sustainable Remote Health Workforce (SRHW)

Despite some ambiguity within the management literature, job satisfaction was frequently associated with retention (Hagopian, Zuyderduin, Kyobutungi & Yumkella, 2009; Ko & Hur, 2014; Yousaf, Sanders, & Yustantio, 2016). Therefore, an *a priori* approach was taken to develop a measure for a SRHW using Herzberg's motivation-hygiene theory. Herzberg's motivation-hygiene theory (1968) proposed that there is a need to minimise dissatisfaction before satisfaction can influence outcomes (Campbell et al., 2012; Nadkarni & Stening, 1989). Thus, while considering job satisfaction (motivation) as a positive aspect of workforce sustainability it was essential to also consider aspects that may lead to dissatisfaction (hygiene); hence, minimising the overall benefit of job satisfaction. The SRHW measure used the Herzberg's motivation-hygiene theoretical perspective including two

questions from the questionnaire to measure hygiene factors, and two questions from the questionnaire to measure motivation factors (see Table 4).

Management Practices

Social Exchange Theory (SET) was selected as a suitable theory to examine management practices for this population. SET proposes two types of social exchange, leader-member exchange (LMX) and Perceived Organisational Support (POS). LMX emphasises 'the quality of exchange between the employee and the supervisor and is based on the degree of emotional support and exchange of valued resources' (Ko & Hur, 2014, p.177) whereas POS focuses on the exchange relationship between the employee and the organisation. Management practices that promote POS and LMX influence job satisfaction, commitment and turnover (Ko & Hur, 2014; Sluss & Thompson, 2012). For this reason, LMX and POS were used as measures to represent management practices.

Utrecht Work Engagement Scale (UWES)

The Utrecht Work Engagement Scale (UWES) is the most widely used scale for measuring work engagement and has been used across diverse work groups and countries including translation into different languages (Nerstad et al., 2010; Seppala et al., 2009). There are three dimensions of work engagement and the collinearity of the dimensions is such that they can be used as a single measure for work engagement (Nerstad et al., 2010).

HR Outcome Measures

The emergent HR outcome measures for a SRHW were: competence, empowerment, personal isolation, professional isolation, remuneration and work engagement (Table 1). The procedure for identifying these measures is explained in more detail in the results section.

Insert Table 1 about here

Conceptual model

It was proposed that management practices influence workforce sustainability indirectly through their impact on HR outcomes and directly through decisions about continuing employment and work conditions (Figure 1). Therefore, the following hypotheses are proposed:

H1: Management practices (LMX, POS) influence SRHW for health professionals working in remote regions of northern Australia.

H2: Management practices (LMX, POS) influence HR outcomes which influence SRHW for health professionals working in remote regions of northern Australia.

H3: Management practices (LMX, POS) influence the translation of HRM policy choices for the HR Outcome: Commitment (Embeddedness, Work Conditions); which influences SRHW for health professionals working in remote regions of northern Australia.

H4: Management practices (LMX, POS) influence the translation of HRM policy choices for the HR Outcome: Competence (Competence and Professional Isolation); which influences SRHW for health professionals working in remote regions of northern Australia.

H5: Management practices (LMX, POS) influence the translation of HRM policy choices for the HR Outcome: Congruence (Empowerment and Personal Isolation); which influences SRHW for health professionals working in remote regions of northern Australia.

H6: Management practices (LMX, POS) influence the translation of HRM policy choices for the HR Outcome: Cost-effectiveness (Remuneration); which influences SRHW for health professionals working in remote regions of northern Australia.

H7: The HR Outcomes influence SRHW.

Insert Figure 1 about here

RESULTS

Participants

The sample (n=213) included participants who worked in remote areas of Queensland (62.6%) and Western Australian (37.4%). There were a higher proportion of female (83.5%) than male participants; and approximately half (54.6%) were nurses. This is fairly representative of the workforce as nurses and midwives form approximately 82% of the remote health workforce; and in Australia 89.7% of nurses are female (HWA, 2014).

All of the participants who disclosed their age were 30 years or older, with most aged over 40 years (90.8%). More than half (51.9%) had been with their current employer in a remote region for

less than four years and 18.4% had been with their current employer in a remote region for less than one year. There was a reasonable spread of participants across work locations, living locations, occupations and adequate representation of those who had management responsibilities and participants who had received incentives (Table 2).

Insert Table 2 about here

Descriptive statistics, factor analysis and correlations

The data was assessed for normality through SPSS22 using the Kolmogorov-Smirnov goodness-of-fit test, normality plots, box plots and histograms. Factor analysis was conducted as a data reduction technique to determine whether the sixty questions could be summarised as a smaller set of factors (Pallant, 2009; Tabachnick & Fidell, 2007). Exploratory Factor Analysis (EFA) was conducted in a preliminary analysis because the questions had been drawn from other scales, as well as some additional questions, so they had not been tested together in this way previously. The EFA identified 15 factors that explained 73.56% of the variance. Once single question factors and cross-loading factors were removed, ten factors explained 60.12% of the preliminary data. However, this is reported cautiously given the small sample size (n=148) and possible multi-collinearity issues. Confirmatory Factor Analysis (CFA) was used for the data analysis reported in this paper for three reasons: 1) EFA had been undertaken in the preliminary analysis to validate the questionnaire; 2) a thorough literature review meant that there was a reasonable level of expectation about the way that these variables would come together (Onnis & Pryce, 2016); and 3) a theoretical framework and subsequent proposed model was developed suggesting that identifying the final factors was more confirmatory than exploratory in nature.

A CFA using Principal Components Analysis identified ten factors (Table 3) which explained 63.76% of the variance. Varimax orthogonal rotation method with Kaiser Normalisation, resulted in a Kaiser-Myer Olkin Measure of Sampling Adequacy of 0.828 and a significant Bartlett's Test of Sphericity ($p<0.001$).

Insert Table 3 about here

The Cronbach's alpha was calculated for each of the ten factors to determine internal reliability. Two factors (work conditions and embeddedness) with a Cronbach's alpha below 0.50 were removed. The remaining eight factors had a Cronbach's alpha ranging from 0.64 to 0.93, and while the preference for internal reliability was a Cronbach's alpha above 0.70, the majority of factors had a Cronbach's alpha above 0.70 so they were deemed to have adequate levels of internal consistency (Pelletier et al., 1995). Data analysis proceeded with eight factors (two management factors (LMX, POS), work engagement, and five HR outcomes (competence, professional isolation, empowerment, personal isolation and remuneration). See Table 4 for the means, standard deviations and Cronbach's alpha for these measures.

Correlation analysis was conducted to identify relationships between the factors. The results (Table 5) suggest statistically significant relationships between the management practices (LMX, POS) and some of the HR outcomes. There were also strong correlations ($r > .50$) for SRHW, management practices and some HR outcome items, suggesting strong relationships; however, they do not indicate the direction of the relationship (Pallant, 2007).

Insert Table 4 & Table 5 about here

Multi-collinearity

The high correlations suggest that there may have been an issue with multi-collinearity. A VIF of 10 and above indicates a possible multi-collinearity problem (Hair et al., 1998). The VIFs for this data range between a 1.1 and 3.3, suggesting that multi-collinearity was not a serious concern for this dataset (Hair et al., 1998). Therefore, data analysis continued in order to understand more about the relationships of these variables.

Step-wise Multiple Regression

Multiple regressions were conducted since there was already a sound conceptual and theoretical reason for the analysis model and variables (Pallant, 2007). With a sample size of 213 cases, this study exceeds the minimum sample size required for multiple regressions; however, it is smaller than the minimum needed for stepwise multiple regressions (Tabachnick & Fidell, 2007). This is

acknowledged as a limitation of this study; however, analysis continued as it still provided a reasonable analysis of the variable relationships.

SPSS 22 was used to conduct the stepwise multiple regression, as such, the order of regression for the independent variables was determined by statistical criteria that generate the stepwise procedure. The stepwise multiple regressions found that 69.5% of the variance of the entire model was explained by the management practices and HR outcome measures. The stepwise multiple regressions suggested that the interrelationships of the independent variables were such that they were explaining a large proportion of the model. It also indicated that multi-collinearity was not a problem with tolerances below 0.9 and VIFs well below 10 (Hair et al., 1998; Tabachnick & Fidell, 2007). To further understand these interrelationships a path analysis was conducted.

Path Analysis

As well as a step-wise Multiple Regression, a path analysis was conducted. The fit indices used to examine how well the model fits the data included root mean-square error of approximation (RMSEA), comparative fit index (CFI) and the Tucker-Lewis index (TLI) (Xerri & Brunetto, 2013). A model is considered a 'good' fit with a relative Chi-squared measure (χ^2 / *df*) smaller than two (Perlman, 2013). The model presented has a good fit: χ^2 (*df* = 19) = 1.003, p<0.001; χ^2 / *df* = 1.003. NFI = 0.962; TLI = 1.00; CFI = 1.00; RMSEA = .004 (Vieira, 2011). The full path model, including estimated path coefficients, revealed statistically significant relationships (Figure 2).

Insert Figure 2 about here

AMOS uses critical ratio (CR), which is the parameter estimate, divided by its standard error (Zhang et al., 2011). The CR needs 'to be larger than 1.96 or smaller than -1.96 in order to reject the null hypothesis' (Zhang et al., 2011, p.170). For the hypotheses proposed in this study, the path analysis showed varying degrees of support. LMX (*b* = 0.23, CR = 4.206; p < 0.001) and POS (*b* = 0.24, CR = 3.775; p < 0.001) had a significant direct relationship with a SRHW supporting H1, and direct relationships with some of the HR Outcomes partially supporting H2. The CFA did not formulate factors for the HR commitment outcome so H3 is not supported. Therefore, the HR outcomes for commitment have emerged as an area for further research. LMX (*b* = 0.21, CR = 2.618;

$p < 0.01$) and POS ($b = 0.34$, CR = 4.275; $p < 0.001$) had a significant direct relationship with professional isolation. LMX ($b = 0.46$, CR = 6.950; $p < 0.001$) and POS ($b = 0.31$, CR = 4.648; $p < 0.001$) had a significant direct relationship with competence. Professional isolation had a significant relationship with SRHW ($b = 0.17$, CR = 3.436; $p < 0.001$); however, competence did not, so H4 is only partially supported. LMX ($b = 0.27$, CR = 3.830; $p < 0.001$) and POS ($b = 0.52$, CR = 7.422; $p < 0.001$) had a significant direct relationship with empowerment. Only POS had a significant direct relationship with personal isolation ($b = 0.27$, CR = 3.914; $p < 0.001$). Empowerment had a significant relationship with SRHW ($b = 0.26$, CR = 3.882; $p < 0.001$); however, personal isolation did not so H5 is only partially supported. Only POS had a significant direct relationship with remuneration ($b = 0.31$, CR = 4.193; $p < 0.001$) so H6 is only partially supported.

LMX and POS did not have statistically significant direct relationships with work engagement. The HR outcomes of professional isolation and empowerment moderated the relationship between LMX, POS and work engagement. Work engagement had a statistically significant relationship with SRHW ($b = 0.21$, CR = 4.387; $p < 0.001$), so H7 was partially supported; however, not in the way initially conceptualised.

The management practices (LMX and POS) had direct significant relationships with SRHW (as described previously). There are also several statistically significant indirect relationships suggesting that some of the HR outcomes (professional isolation, empowerment and remuneration) moderate the relationship for management practices and SRHW. The moderated relationship with remuneration and SRHW had a considerably weaker association than the other HR outcomes. Interestingly, professional isolation and empowerment moderated the relationship with management practices and SRHW for work engagement.

Overall, the findings support the argument that management practices influence HR outcomes and the achievement of a SRHW. Furthermore, the HR outcomes that moderate the relationship between management practices and the

achievement of a SRHW provide valuable insights for health service organisations. The findings from this study provide evidence that HR outcomes are ineffective in achieving long-term outcomes without effective management practices. That is, without effective management practices, HR outcomes are less likely to support workforce sustainability. The model shows that where there are effective management practices, some HR outcomes moderate for the achievement of the desired outcomes. In this case, the findings suggest that *professional isolation* and *empowerment* significantly influence the achievement of a SRHW. In addition, remuneration has significant influence, albeit a milder relationship, with the desired outcome of SRHW.

Implications and future research focus

The study reveals the influence of management practices and **HR outcomes on the achievement of sustainable workforces; however, given the high turnover reported in remote regions the absence of a HR outcome measure for commitment is important.** Organisational commitment was an anticipated HR outcome, particularly given the role of HR practices and turnover intention (Yousaf et al., 2016). Yalabik, Swart, Kinnie, & van Rossenberg (2017) examined the multiple foci of commitment, and proposed that the impact of organisational commitment as a HR outcome arose

from traditional employment relationships, where commitment is exchanged for long-term employment and job security. Therefore, organisational commitment may have less impact in contemporary employment relationships, particularly for knowledge-based professions. Furthermore, the emergence of the 'boundaryless' and 'protean' career means that many employees are focusing their loyalty to a place of perceived stability, such as their occupation, rather than a specific organisation (Blau, 2009; Snape & Redman, 2010). The protean and boundaryless career perspectives hold that a career is not necessarily tied to a particular organisation; hence, the focus is on occupational commitment and skill development more than organisational commitment. Furthermore, the moderating effect of work engagement is consistent with the findings of O'Donohue, Donohue & Grimmer (2007, p.307) who reported that 'commitment to the profession underpinned high levels of job involvement not contingent on remaining with the organisation.' Hence, where an employee's commitment to their professional is stronger than their commitment to the organisation, any commitment to the organisation is 'contingent upon it supporting their professional values and beliefs' (O'Donohue et al., 2007, p.307).

Global workforce shortages of health professionals, such as nurses, and the increase in contingent labour and temporary employment contracts suggest that occupational commitment will continue to increase in contemporary employment relationships. Consequently, organisational commitment will decrease as competent health professionals have mobility, being able to move between organisations at their convenience while remaining committed to their profession (Yalabik et al., 2017; Yousaf et al., 2016). Wright and Kehoe (2008) argue that multiple commitments may not always conflict; however, competing commitments can both impede and inhibit commitment strength, especially where there is frequent travel and separation from family and friends. Commitment to the team is another aspect of commitment being explored; however, there are few research studies that have explored these multiple commitments (Yalabik et al., 2017). The significant association of professional isolation, management practices and SRHW in this study suggested that colleagues and professional support are influential in retention and turnover decisions. Thus, future research examining the influence of occupational and team commitment as individual variables and the

interaction of the multiple commitment measures could provide further understanding of how commitment impacts health professionals working in geographically remote regions. For remote health professionals this is a salient point as many manage multiple commitments and continue to enjoy the opportunities that remote practice brings; therefore, competing commitments may be central to understanding the impact of commitment on voluntary turnover.

Many organisations continue to direct funding into incentives and bonuses to attract health professionals to remote regions. However, remuneration is a contested area of benefit for remote workforces. While some argue the benefits of incentives and bonus schemes for rural and remote recruitment and retention programs (Humphreys et al., 2012; Russell, Wakerman & Humphreys, 2013); others argue that financial rewards are short-term motivators and, as such, do not promote long-term solutions for workforce sustainability (Buykx, Humphreys, Wakerman, & Pashen, 2010; Campbell et al., 2012). This study proposes that complementary approaches that improve job satisfaction through the work itself are more likely to improve retention. Herzberg's motivation-hygiene theory emerged as a theory suitable for describing workforce sustainability in remote regions. Therefore, if organisations do not provide sufficient resources and support to minimise an employee's feeling of dissatisfaction, then it is unlikely that the high job satisfaction reported in multiple studies (Onnis & Pryce, 2016; Opie et al., 2011) is sufficient for them to remain with the organisation.

LIMITATIONS

The limitations associated with the statistical analyses were discussed earlier in this article. Another limitation was the low response rate (21%); hence, findings that may not be representative of all remote health professionals and therefore cannot be generalised. However, the response rate must be considered in context for this population. The low response rate was consistent with an online questionnaire and this particular population. Further, it was higher than other reported response rates, with the Australian Medical Association (AMA) reporting a response rate of 13%, and Rural Doctors Association of Australia (RDAA) reporting 13.5% for online questionnaires in rural Australia (AMA, 2007; RDAA, 2012). Furthermore, Hemphill and Kulik (2011) only achieved a response rate of 27% from rural GPs even with financial incentives offered for the completion of the paper-based survey.

CONCLUSION

In contemporary workplaces, HR practitioners are often removed from the coalface, and it is the frontline managers who interpret and implement HRM policies. Through effective management practices, organisations accrue the benefits of desirable HR outcomes in differing degrees and with varying consequences. This study found that in geographically remote regions, improvements to the sustainability of the health workforce will not be observed where retention is dependent on financial incentives and bonuses that are not linked to the work itself. Building on the theoretical foundations formed decades ago, the findings of this study provide further evidence of the critical role that managers play in managing people in geographically remote workplaces. Therefore, where there are contemporary HR practice challenges and contextual considerations, the managers play a vital role in achieving the desired HR outcomes. Hence, effective management practices are critical to the realisation of sustainable remote health workforces.

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Table 1: Description of conceptualised key outcome measures

Competence	The skills and experience needed to perform the job
Empowerment	The extent to which employees have an increased scope for autonomous practice and decision making
Job Satisfaction (JS)	Positive emotion derived from your work
Personal Isolation	The employee's feeling of isolation which often arise from a lack of social support
Professional Isolation	The absence of a professional sense of mutual respect for colleagues and the inability to rely on professional peers
Remuneration	The extrinsic rewards provided in return for work effort (e.g. financial incentives)
Work Engagement (WE)	A positive work-related state of mind characterised by vigour, dedication and absorption in the actual work itself (Nerstad et al., 2010)

Table 2: Description of sample (n=213)

Variable	**Total** %	**Variable**	**Total** %
Region		**Rural/Remote Placement**	
Queensland	62.6	Yes	27.5
Western Australia	37.4	No	72.5
Gender		**Management Responsibility**	
Male	16.5	Yes	42.4
Female	83.5	No	57.6
Age (years)		**Occupation***	
30<39	9.2	Allied Health	24.2
40<49	25.7	Dentist	1.4
50<59	24.8	GP	5.3
60<69	32	Specialist	1.9
70+	8.3	IHW	6.8
		Nurse	54.6
Work Location		**Living Location**	
Very Remote	24.8	Live & work very remote	42.4
Remote Town	15.5	FIFO live regional	27.8
Regional Centre	59.7	FIFO live city	13.2
Remote incentives		**Free Annual Flight**	
Yes	59.5	Yes	45.1
No	40.5	No	54.9

*Some variables do not add up to 100% as the values for 'other' are not presented.

Table 3: Factors identified through Confirmatory Factor Analysis

Factor	Cronbach's alpha
Leader Member Exchange (LMX)	0.930
Work Engagement	0.879
Perceived Organisational Support (POS)	0.820
Empowered	0.771
Personal Isolation	0.744
Professional Isolation	0.663
Competence	0.636
Remuneration	0.631
Work Conditions	0.500
Embeddedness	0.498

Table 4: Summary of measurement items, item loads, means, standard deviations and Cronbach's alpha.

Measurement Item (Construct)	Item Load	Mean	SD	Cronbach's alpha
LEADER-MEMBER EXCHANGE *(LMX)*				**.930**
I have great respect for my supervisor/manager[a]	.847	2.38	1.441	
My supervisor/manager helps me a lot at work[a]	.806	3.22	1.506	
My supervisor/manager understands what I do in my job	.803	2.22	0.990	
I have a close relationship with my supervisor/manager[a]	.795	2.24	0.996	
My supervisor/manager will really help my career[a]	.772	3.13	1.444	
My supervisor/manager keeps me informed about workplace issues[b]	.744	2.29	0.927	
My manager has experience working in a remote region	.651	2.17	1.301	
PERCEIVED ORGANISATIONAL SUPPORT *(POS)*				**.820**
With this employer I can achieve my career goals[a]	.634	2.82	1.328	
My employer has broken promises to me about promotions(R)	.590	2.38	1.408	
There is a clear status difference between management and staff(R)[b]	.556	4.10	1.324	
This employer lets me grow and develop professionally	.515	2.32	0.913	
A rigorous selection process is used to recruit and select new people[b]	.496	2.96	1.245	
I have all the resources that I need to do my job	.489	3.19	1.378	
COMPETENCE				**.636**
My job has clear boundaries	.587	3.04	1.289	
My employer provides regular professional supervision	.571	3.42	1.582	
The orientation/induction, provided by my employer prepared me for this job	.425	3.36	1.460	
EMPOWERMENT				**.771**
I can make my own decisions in carrying out my job[b]	.762	2.16	0.784	
My actual role is very similar to my job description	.543	2.39	0.867	
My employer understands the demands of remote travel	.511	2.16	0.851	
My employer provides study leave so that I can attend training	.484	2.13	0.913	
PROFESSIONAL ISOLATION				**.663**

My co-workers respect my skills and experience[a]	.798	2.14	0.985	
I respect my co-workers[a]	.650	1.69	0.629	
My co-workers can help me with my career[a]	.525	2.50	0.885	
REMUNERATION				**.631**
It would be easy to find a job that pays better than mine(R)[a]	.761	3.18	1.239	
I am satisfied with the salary I receive for the work I do[a]	.704	2.23	0.856	
People doing my job at other organisations get paid better(R)[a]	.621	3.17	1.376	
The offer of more money with another employer would make me think of changing my job(R)[b]	.453	3.81	1.448	
PERSONAL ISOLATION				**.744**
My family want me to find a job closer to them(R)[a]	.860	3.73	1.770	
My friends want me to get a job where I could live closer to them(R)[a]	.849	3.52	1.664	
It is difficult to take leave from my remote workplace(R)	.503	3.40	1.368	
WORK ENGAGEMENT				**.887**
I find the work that I do full of meaning[d]	.802	2.15	1.083	
At work, I feel strong and enthusiastic[d]	.801	2.56	1.129	
When I get up, I feel like going to work[d]	.794	2.56	1.150	
I am proud of the work that I do[d]	.759	1.96	0.968	
At my work, I feel bursting with energy[d]	.740	3.08	1.205	
I feel happy when I work intensely[d]	.724	2.42	1.077	
Time flies when I am working[d]	.646	2.02	1.030	
I get carried away with my work[d]	.506	2.85	1.292	
SRHW				**.631**
I feel fairly rewarded for the amount of effort I put into my job[c]		2.33	.890	
I feel loyal to my employer[a]		2.14	1.071	
My employer provides adequately for my personal safety		2.15	.909	
My work is satisfying		1.88	.772	

Questions adapted from: [a]Maertz & Boyar 2012; [b]Gould-William & Davies, 2005; [c]Maertz, Boyar & Pearson, 2012; [d]Schaufeli & Bakker, 2003

Table 5: Correlations between the HR Outcomes and the SRHW measure

	Mean	SD	1	2	3	4	5	6	7	8	9
1. LMX	2.27	.8215	-								
2. POS	2.85	.7850	.480**	-							
3. Competence	3.26	1.1036	.569**	.498**	-						
4. Empowerment	2.16	.5698	.496**	.578**	.328**	-					
5. Personal Isolation	3.55	1.3097	.157*	.243**	.204**	.118	-				
6. Professional Isolation	2.06	.6158	.369**	.427**	.273**	.333**	.090	-			
7. Remuneration	3.02	.8390	.105	.297**	.080	.121	.232**	.156*	-		
8. Work Engagement	2.45	.8373	.186*	.341**	.301**	.330**	.088	.313**	.138	-	
9. SRHW	2.24	.6725	.581**	.663**	.550**	.636**	.203**	.488**	.255**	.550**	-

* Correlation is significant at the 0.05 level (2-tailed).
** Correlation is significant at the 0.01 level (2-tailed).

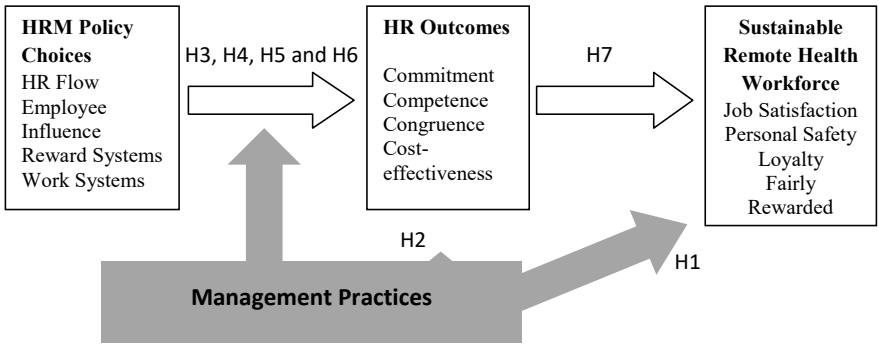

Figure 1: Conceptual Model

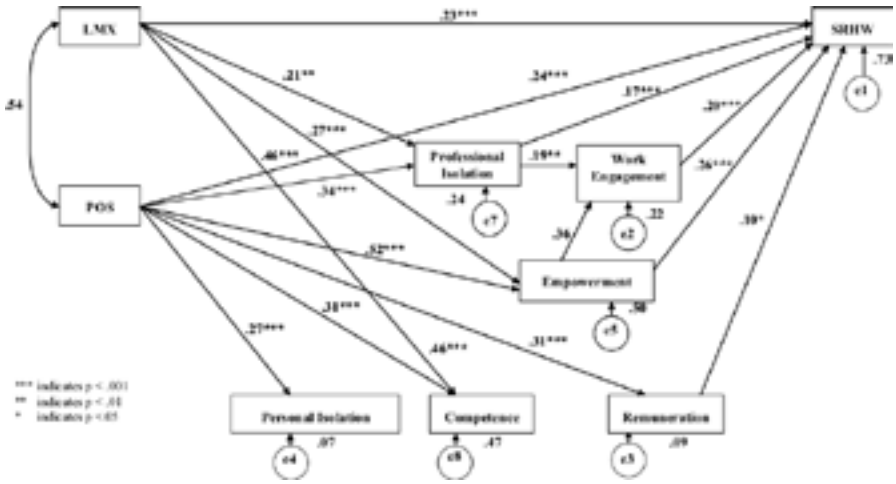

Figure 2: Model – Influence of Management practices on achievement of remote health workforce sustainability

06. International Management stream
Delivered Session

Host country nationals' cross-cultural adjustment:

Their exchange relationship with expatriates and its spillovers

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Host country nationals' cross-cultural adjustment:

Their exchange relationship with expatriates and its spillovers

ABSTRACT

Host-country nationals (HCNs) can experience cross-cultural adjustment as a consequence of their regular and sustained interaction with their expatriate colleagues. HCNs' adjustment patterns are distinct and worthy of investigation in their own right. Through the lens of social exchange theory, we analyse how HCNs, without changing their geographical and organisational location, can be targets of adjustive pressures and how HCNs' adjustment (or lack thereof) spills over to their relationships with co-workers and families. We conclude by outlining the research and practice implications of our theorising.

Keywords: host country nationals, cross-cultural adjustment, host country nationals' cross-cultural adjustment, exchange relationship, social exchange theory

06. International Management stream

Delivered Session

INTRODUCTION

Over the last four decades or so, the International Management literature on cross-cultural adjustment (CCA) has overwhelmingly focused on expatriates (Malek et al., 2015). This is not surprising, bearing in mind that CCA is said to be felt most acutely by those who relocate physically to an unfamiliar cultural environment (e.g. Dabic et al., 2015). This expatriate-centric view has continuously overlooked the fact that CCA can occur in "both groups" coming into contact (Redfield et al., 1936: 147). Indeed, CCA encompasses processes and/or results of changes experienced by an individual whose primary learning occurred in one culture, but who begins to take on traits of another culture, typically resulting from sustained intercultural contact (Ward, et al., 2001) and this is not limited to the individual who relocates physically.

The present paper turns the light on host country nationals (HCNs). Instead of treating them as actors who support expatriates' CCA, we investigate how HCNs, without changing their geographical and organisational location, can be targets, knowingly or otherwise, of adjustive pressures as a result of engaging in regular and sustained intercultural interaction with their expatriate colleagues. Our conjecturing provides important counterbalances to the prevailing focus of CCA literature which has emphasised physical mobility as the trigger for adjustment – from "a familiar setting […] (to) […] an unfamiliar one" (Black et al., 1991: 301). We argue that HCNs can experience psychological and sociocultural disruptions that are akin to a form of 'HCN CCA'. By treating HCN CCA as a phenomenon of interest in its own right and articulating some of the adjustment experiences of HCNs in unfamiliar social but not physical environments, we respond to calls that advocate for greater attention to the experiences of HCNs as focal persons in research (Takeuchi, 2010) and to recent invitations to explore how HCNs experience various forms of cultural disruption (Smale et al., 2015).

We treat an individual's CCA as sociocultural and psychological processes that result from intercultural exchange, and utilise social exchange theory (Homans 1958) to understand HCN CCA in particular. Theoretical and empirical interest in social exchange has tended to emphasise direct dyadic relationships and we follow this tradition by theorising HCN CCA as emerging from an exchange

relationship with expatriates. Social exchange theory offers a valuable lens for examining the ways that the adjustment contributions of one party in an exchange relationship may disrupt or propel the adjustment of the other. At the same time, we also emphasise that a substantial component of the outcome of the exchange (in this case, HCNs' psychological and behavioural adjustment) is incidental, occurring in addition to, or perhaps in spite of, the intentions and actions of the exchanging parties and having spinoff effects on others beyond the dyad, e.g. HCN peers and family. At a practical level, a better understanding of HCNs' adjustive disruptions – both welcomed and imposed – is likely of interest to HCNs, expatriates, and managers tasked with overseeing international assignments as a way to foster more meaningful and effective expatriate-HCN relationships with the potential to benefit all parties involved.

THREE WAYS HCNs' ADJUSTMENT DIFFERS FROM EXPATRIATES'

First, HCNs go through a *less wide-ranging and more focused form of disruption* than most expatriates. Whereas expatriates experience an upheaval to all aspects of their life, HCNs retain home-culture social networks and living arrangements (Rogler, 1994), as well as the basic features of the organisational environment – including most colleagues and, typically, features of the job. For HCNs, the stress and learning triggers that are central to CCA are restricted to a relatively narrow range of direct and/or vicarious interactions with expatriates. Notably, such interactions are usually constrained to the workplace where exchange opportunities are confined by structural expectations and by situations that limit the variety of intercultural interactions (e.g. by preferencing particular types of information) or the breadth of learning that is possible (e.g. range of modelled behaviours and opportunities to reproduce these). This is different from the experiences of expatriates relocating to a foreign country, which allow a variety of both work and non-work intercultural exchange opportunities. Importantly, the nature and extent of HCNs' CCA will more directly relate to their contact with a small number of individual expatriates, and primarily in specific and controlled settings.

Second, somewhat counter-intuitively, HCN CCA may have a *stronger discretionary component* than expatriate adjustment. Intercultural interactions with people possessing different

cultural norms values and language can be cognitively taxing, disrupt psychological wellbeing, and be difficult to sustain (Aichhorn & Puck, 2017; Carraher, Sullivan, & Crocitto, 2008). The relatively limited breadth of adjustment triggers for HCNs suggest that HCNs may find it easier than expatriates to cope psychologically and professionally by retaining home-country cognitive scripts and behaviours.

Finally, HCNs are likely to experience *disequilibrium in regards to exchange relationships outside the expatriate-HCN dyad* and this can make HCN CCA particularly challenging. Whereas expatriate adjustment occurs when an individual crosses a cultural threshold and is immersed in an all-encompassing host culture, HCN CCA is instigated when a foreign carrier of unfamiliar norms, attitudes and assumptions infiltrates part of their environment. Rather than widespread and generally consistent triggers of learning and stress that expatriates confront, HCNs may face competing psychological pressures to, on the one hand, adapt cognitively and behaviourally in response to exchange relationships with expatriate/s, and, on the other hand, retain existing scripts and behaviours to conform with HCNs with whom they associate, including colleagues, family and friends. Also, unlike expatriate families who may experience changes similar to expatriates, HCNs' families may lack the awareness or experiences to provide HCNs with emotional or informational support. In short, HCNs CCA introduces unique considerations, making it worth of scholarly examination and of interest to practitioners.

HCN ADJUSTMENT AS A HCN-EXPATRIATE EXCHANGE RELATIONSHIP

Social exchange theory as a lens for studying the HCN-expatriate exchange relationship

As a means of reconciling distinct characteristics of HCNs' and expatriates' CCA, we draw on social exchange theory, one of "the oldest theories of social behavior" (Homans, 1958: 597). Rooted in Economics, Sociology and Psychology, the theory focuses on social relations between actors who engage in transaction/exchange (Emerson, 1962). It postulates that individuals enter into reciprocal (usually dyadic) relationships of supporting and learning from others based on both sides receiving an outcome of value (Homans, 1958). The relationship is underpinned by actors consciously or subconsciously weighing the costs (effort, time) and benefits (acceptance, support) of the

relationships in which they engage (Blau, 1962). When one actor contributes favourably to the relationship, via positive initiating actions (Cropanzano et al., 2017), the other is more likely to respond via a positive reciprocating response. The relationship remains constructive to the extent that the contributions made and benefits received are balanced. High quality relationships are characterised by positive initiating actions eliciting positive reciprocating responses; low quality ones by negative initiating actions and responses. Actions aimed to restore equilibrium in the exchange can be either internally directed (behavioural, emotional or psychological change) or externally directed via, for instance, demanding greater contributions from the partners or withdrawing from the exchange (Adams, 1963).

In this paper we propose that establishing social exchange relationships with expatriates can provide the impetus for cognitive and behavioural changes in HCNs akin to a form of CCA. Through this lens, CCA is a mutual process emerging from social exchanges between two persons in intercultural relationships, impelled by the interpersonal rewards and sanctions that accrue from this. The next section discusses features of HCN-expatriate dyads that, we theorise, influence HCNs' adjustment.

The nature of the HCN-expatriate dyad and its impact on HCN adjustment

From a social exchange perspective, interactions between HCNs and expatriates provide the platform for the mutual exchange of initiating actions and reciprocating responses. HCNs' adjustment behaviours represent contributions to the exchange relationship. These adjustments can be either initiating actions, triggered by a desire to learn and develop or by anticipation of benefits derived from an exchange relationship with an expatriate, or a response intended to reciprocate a perceived contribution from the expatriate. In both cases, the contributions of actively engendering or passively accepting personal change (Torbiörn, 1982) are intended to maintain equilibrium in the relationship. In effect, adjustment pressures and responses contribute surpluses/deficits to the exchange relationship. For instance, unwelcome or unexpected pressure on a HCN to adjust behaviours (e.g. requests to communicate in a different style that increases cognitive or emotional load) may be

viewed as a negative initiating action. In contrast, adjustment pressures that are perceived as favourable (e.g. an opportunity to communicate in a foreign language that is viewed by the HCN as developmental) are more likely to elicit positive reciprocal contributions. In both cases, HCN adjustment as either a coping or learning response is, we posit, a contribution to the exchange relationship.

From an exchange perspective, a willingness for more regular contact with expatriates is conducive to productive relationships based on reciprocal sharing of information and other resources (Lawler et al., 2000). It also provides a firmer base for developing interpersonal skills (Hechanova et al., 2003) that are the foundations of behavioural adjustment. It does this by presenting repeated availability of modelled behaviour (Bandura, 1986) that can galvanise recognition of a skills deficit, and thus the disequilibrium that activates adjustment. This repetition of models is especially important to HCNs given the limited breadth of models available (in contrast to expatriates), making the learning richness of the HCN-expatriate relationship especially important.

In exchange relationships, contributions perceived as more positive generate stronger commitment to the relationship (Cropanzano et al., 2017), increase reciprocity obligations (Gouldner, 1960), and enhance learning through instigating attention to and retention of modelled behaviours (Bandura, 1986). Thus we expect that HCNs' willingness to adjust when working with expatriates will be strongest when they perceive they will accrue benefits from making adjustments to facilitate these interactions (Cropanzano et al., 2017). That is, HCNs are more willing to bear the costs of their own psychological and behavioural adjustment when a more valuable outcome results (Homans 1958). They are also more inclined to participate in positive intercultural exchange relationships, and so foster more frequent learning-rich exchange interactions with expatriates. To exemplify this, the following section considers how the nature of HCN and expatriate roles can influence HCNs' CCA.

Formal roles in the HCN-expatriate dyad and how they influence HCN adjustment

Inequality between HCNs and expatriates has been discussed in a range of contexts in expatriate research (Liu & Shaffer, 2005; Maley, Moeller, & Harvey, 2015), typically because

expatriates often take on roles that place them in positions of seniority over HCNs (Edström & Galbraith, 1977; Michailova, Mustaffa, & Barner-Rasmussen, 2016). In such circumstances, the ability to evaluate performance or impose rewards or sanctions toward HCNs allow expatriates, consciously or otherwise, to dictate the nature of norms and knowledge that are recognised as valuable (Hong & Snell, 2008; Liu & Shaffer, 2005; Maley et al., 2015). In these situations, less powerful HCNs are expected to be imbued with stronger instrumental and psychological incentives to adjust their behaviours and attitudes to sustain a positive relationship with, and/or receive social approval from, the more powerful partner (Giles, Coupland, & Coupland, 1991). These features raise the psychological benefit of HCNs feeling impelled to modify attitudes and behaviours in order to conform with the more powerful expatriate.

The formal work roles undertaken by HCNs and expatriates may also shape adjustment patterns. One prominent use of expatriates within multinational corporations is to develop HCNs' expertise and skills through, for instance, mentoring and/or transmitting cultural norms (Edström & Galbraith, 1977; Harzing, 2001). These organisational development roles are intended to improve performance by creating change in HCNs' behaviours (Riusala & Suutari, 2004; Vance & Paik, 2005). Shay and Baack (2006) found that expatriate managers whose primary objective was one of subsidiary control (e.g. supervising or training HCNs) triggered personal changes in HCN subordinates resulting from the types of behaviours that the expatriates engaged in. This empirical base suggests that working with expatriates who perform subsidiary development roles provides a strong motivation for HCNs to adjust. We expect these interactions to be characterised by consistent and repeated learning opportunities and so relatively stronger adjustment by HCNs.

On the other hand, HCNs are often given responsibility for supporting expatriates' adjustment to the local culture (Mahajan & Toh, 2014) and/or host organisation (Toh & DeNisi, 2005, 2007). While on the one hand these roles involve HCNs reinforcing home-culture scripts and practices for the benefit of expatriates, studies show that it is not only newcomers who undergo socialisation; insiders involved in the process can also be socialised in unexpected ways (Feldman, 1994). These changes

appear to be triggered, at least in part, through opportunities to participate in social interaction and shared sense-making such that aspects of the newcomers' (i.e. expatriates') interpretation causes the insider (HCN) to re-evaluate and thus change their perspective (Lynton & Thøgersen, 2008). From a social exchange perspective, such practices may elicit positive reciprocating responses from expatriates that may facilitate a positive ongoing exchange relationship. Thus, supporting and socialising expatriates to adapt to the host culture and organisation may be an impetus for HCNs to experience CCA.

BEYOND THE HCN-EXPATRIATE DYAD: SPILLOVER EFFECTS OF HCN CCA

Dyadic expatriate-HCN relationships do not occur in isolation; adjusting individuals maintain simultaneous exchange relationships with other work- and non-work networks. HCNs continue to sustain existing webs of exchange relationships with colleagues and family in the home environment after their exchange relationship with the expatriate has begun. This makes the pattern of their adjustment differ in degree and scope from expatriates', who typically 'surrender' home country exchange relationships and form new relationships with actors in the host country. A feature of HCN adjustment, therefore, relates to potential spillover effects to different aspects of their lives outside the expatriate-HCN dyadic relationship (Williams & Alliger, 1994). That is, HCNs' adjustment, while contributing positively to the exchange relationship with expatriates, may interact with other exchange relationships that exist concurrently; notably, it has the potential to influence their relationships with others from the home-country, including family and non-work social networks (Caligiuri, Hyland, Joshi, & Bross, 1998) in ways that may disrupt those exchange relationships, and potentially undermine HCNs' professional and personal wellbeing.

We argue that the pressures for HCNs to adjust can increase work-to-co-worker and work-to-family crossover stress in two ways. The first comes from HCNs needing to devote additional personal resources to their adjustment. As with expatriates (Shahnasarian, 1991), this can divert resources from non-work roles, place additional burdens on family members, and consequently increase stresses in these relationships (Shaffer et al., 2001). In social exchange terms, these burdens mean that HCNs'

ability to contribute positive initiating actions or reciprocating responses to the exchange relationship is diminished. Thus, whereas expatriates' adjustment may reduce work-to-family conflict (Takeuchi, 2010), we propose that HCNs' adjustment can have the opposite effect on family and co-worker exchange relationships.

The second crossover stress arises from the potential of inter-role stress caused by incompatibility between different expectations of HCNs' multiple roles – for instance, exchange relationships with family and co-workers on one hand, and with expatriates on the other hand – to the point where contributions to one are detrimental to the other (Shaffer et al., 2001). HCN adjustment may create behaviour-related pressures (Ford, Heinen, & Langkamer, 2007) arising from behavioural discrepancy; that is, the need to enact distinct behavioural and cognitive patterns in different settings; one when interacting with expatriates, and one when interacting with family/co-workers. Inappropriate transferral of behaviour from one setting to another has the potential to add to the psychological burden and engender conflict that can fracture the exchange relationship. HCNs' families and co-workers – without structured interventions and/or experience in similar exchange relationships – are unlikely to be able to provide HCNs with emotional or informational support that mitigates these conflicts.

While most expatriate research emphasises the benefits of social networks to expatriates' adjustment, some research documents detrimental impacts on expatriates' psychological adjustment, primarily in situations in which expatriates confront relationships with non-adjusting or maladjusting individuals. Typically these are family members who also experience varying degrees of adjustment in a host culture (Takeuchi et al., 2002), or distant home-country networks, which may trigger negative psychological stresses through their absence (a result of the expatriates' geographic relocation), or when expatriates attempt to reintegrate at the end of an assignment (Brabant, Palmer, & Gramling, 1990). In these cases, it is the disequilibrium in the exchange relationship created by different patterns of adjustment that can create tension which influences the relationship and the adjusting individual. Applied to HCNs, we propose that the equilibrium they seek in other exchange relationships can

interfere with their exchange relationships with expatriates in ways that influence their CCA, and can result in stresses stemming from their own adjustment. To illustrate this, we consider HCNs' exchange relationships with two sets of social networks: other HCN co-workers and HCN families.

HCN cross-cultural adjustment: spillover to HCNs' relationships with co-workers

While substantial research has shown the favourable influence of support from co-workers on expatriates' CCA, we suggest that HCNs who become closely associated with an expatriate – for instance, as a protégé or cultural mentor (Toh & DeNisi, 2005) – may become the target of resentment from colleagues that leads to them being viewed as out-group members (Vance, Vaiman, & Anderson, 2009). This can weaken exchange quality, reduce affective support to assist HCNs' adjustment, and potentially result in social undermining (Vinokur & van Ryn, 1993), a form of negative social support manifested via negative affect and/or evaluation being directed at an individual. Co-worker resentment towards expatriates can be activated by a multitude of triggers ranging from expatriates' perceived privileged status and the practices they use (Khan et al., 2010) to them simply being different (Varma et al., 2009). This negative affect may transfer to HCNs strongly associated with the expatriate and lead to HCNs being viewed as outsiders to the in-group of local workers (Locksley et al., 1980). Direct resentment toward the HCN may also arise in situations where co-workers are envious of the opportunities arising from HCNs' association with the expatriate. In both cases, this negative affect creates stress in the HCN-co-worker interaction and weakens the exchange relationships and hence reciprocal support available (Berkowitz, 1989; Varma et al., 2016). This, in turn, reduces the coping and learning resources that HCNs have available for adjustment. In contrast, HCNs who experience positive support from co-workers are expected to be better equipped with emotional resources to cope with the CCA pressure emanating from their exchange relationships with expatriates.

HCN cross-cultural adjustment: spillover to HCNs' families

We argue that certain family conditions may be more conducive to HCNs' CCA by buffering some stresses and commitments inherent in HCNs' intercultural exchange relationships. Expatriate

studies show that emotional support from family members can ease adjustment stresses (Van der Bank & Rothmann, 2006). Expatriates' families are typically experiencing similar adjustment challenges. Consequently, they are aware of the stresses being invoked and therefore have a relatively accurate understanding of the exchange demands being placed on the expatriate. They can therefore provide direct empathetic support and understanding within their exchange relationships (Westman, 2001), an interdependence which underpins positive exchange relationships (Thibaut & Kelley, 1959).

In contrast, HCNs' adjustment is more isolated to specific work exchange relationships that are not replicated at home. HCNs' families may lack the awareness or experiences to provide the emotional or informational support that mitigates these conflicts. Conversely, families with awareness of the acculturative stresses experiences of the HCN and who are supportive of the HCNs exchange relationship with the expatriate, are expected to be better equipped to minimise extraneous stresses that may derail HCNs' adjustment.

IMPLICATIONS

Research implications

This brief paper has aimed to turn the CCA spotlight away from expatriates and onto the HCNs with whom expatriates interact. It introduced and explained the concept of 'HCN CCA' and theorised that CCA, rather than requiring a geographic relocation or organisation-wide change, can be triggered by sustained exposure to a different culture in one's home base through intercultural exchange relationships with foreigners. In doing so, we attempted to systematically explain the HCN CCA phenomenon as a logical and coherent response to the demands of a salient intercultural exchange relationship with an expatriate.

We also suggested that in spite of the positive achievements to date, criticisms have been raised about the simplicity of existing CCA frameworks and models and their lack of recognition of the complexity of the adjustment experience (Hippler, Haslberger, & Brewster, 2018). Our theorising highlighted that new insights can be gained from examining the features of prominent exchange partners who may be salient determinants of an individual's adjustment, like the partners' role as well

as from considering spillovers of CCA beyond the immediate dyad. Such a perspective is consistent with calls to acknowledge the importance of different domains within which adjustment transpires (Haslberger, Brewster, & Hippler, 2014). It shifts the emphasis away from CCA as being viewed as assimilating a static and deterministic macro-level milieu to one emerging from individual's participation in a multiplicity of rich intercultural experiences, within a particular context. From this perspective, the collective configuration of an individual's web of intercultural social exchange relationships at the micro-level, therefore, may be used to build a more nuanced picture of the adjustment forces and so outcomes being experienced by all adjusting individuals, including HCNs.

Our theorising provides opportunities to expand the application of social exchange theory to adjustment arising from intercultural exchanges. For instance, viewing adjustment as (a series of) exchange relationships rather than physical relocation focuses attention on particular relationships or exchange activities (positive and negative initiating actions and reciprocating responses) that may be especially powerful propellants of adjustment. Doing so opens the door for further examinations to address the influence of intercultural exchange relationships on the CCA patterns and outcomes of the individuals involved.

Implications for practice

Understanding the nature of HCN CCA is, we argue, of interest to multinational corporations, HCNs, and expatriates. Just as expatriate assignments are being used as career pathways (BGRS, 2016; Caligiuri & Bonache, 2016), so too are assignments for HCNs who work with expatriates. By supporting these in the same way that expatriate assignments are supported, multinational corporations may accrue multiple benefits, including reducing the negative stresses associated with HCN adjustment and facilitating positive outcomes of this adjustment in the guise of learning. By acknowledging HCNs' CCA experiences, multinationals will be better positioned to support HCNs' (and expatriates') psychological and sociocultural adjustment, and contribute to more meaningful and effective exchange relationships. For instance, it may be that HCNs' adjustment, and therefore performance, can be facilitated if organisations are able to replicate in cost-effective ways some of the support

mechanisms that are currently reserved for expatriates. Gouttefarde (1992) suggests that communication, training and feedback for HCNs prior to and after the expatriates' arrival may help to minimise the potential of HCNs' culture shock. Efforts to curate expatriate-HCN dyads so that HCNs are favourably disposed towards the expatriates' expertise and/or role may support HCNs' adjustment.

Similarly, training or support for aspects of HCNs' non-work adjustment might limit the negative consequences of work-to-home spillover (Westman, 2001). This may include organisations taking responsibility for providing support to HCNs' families in the same way that expatriates' families are often involved in pre-departure training. Likewise, ensuring expatriates recognise the full gamut of HCN contributions to a dyad – including the (potentially negative) impacts on HCNs' relationships with their co-workers and families – is likely to elicit more favourable reciprocal contributions, and thus contribute to positive exchange relationships.

We suggest that the personal and professional development that HCNs can undergo through their interaction with expatriates may be beneficial to multinational organisations via, for instance, supporting and mentoring other HCNs through adjustment experiences. The question of whether organisations should facilitate or shield HCN CCA is pertinent. Organisations sometimes choose to configure living and work arrangements to screen some expatriates from the pressures and strains of adjustment (Glasze, 2006); similarly, organisations not wanting (particular or all) local staff to acculturate may consider ways to 'protect' them from the potential forces of adjustment that we outline.

Our theorising also hints at ways that organisations might ensure patterns of mutual adjustment are productive rather than counter-productive. A simple example of this is framing how HCNs perceive the process of their own adjustment. Individuals who anticipate and perceive a more positive exchange relationship are more likely to reciprocate through contributing resources to the relationship (Homans, 1958). HCNs who view their own adjustment favourably – for instance, as a process of personal and career development rather than a disruptive cost borne on behalf of the

organisation – can be expected to contribute to the wellbeing, adjustment and performance of expatriates. Accordingly, multinational corporations might benefit from more careful selection and preparation of HCN staff involved in intensive intercultural exchanges with expatriates.

At the same time, it is important for organisational actors to be cognisant of underlying power dynamics that may shape such social exchanges (Emerson, 1962). Dependence on an exchange partner for particular resources, or the discharge of deficits accrued through an exchange relationship, can lead to subordination that creates and/or reinforces structural inequality. Compounded by the greater potential for misunderstanding or conflict to emerge from intercultural interactions, commitment to mutual adjustment, rather than the assumption of one-sided adjustment, is a useful starting point.

CONCLUSION

Cross-cultural adjustment has been, is, and will remain a critical determinant of the success of multinational organisations' global staffing strategies and operations. We establish the somewhat counterintuitive argument that the socio-cultural landscape and distinctive exchange relationships experienced by HCNs, while often hidden, may lead to adjustment patterns that are unique and less predictable, and hence worthy of examination in their own right. In short, HCNs should no longer be the forgotten people in the multinational organisations when it comes to CCA.

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13. Sustainability and Social Issues in Management
Delivered

A circular economy model for reducing food waste in the University sector: meeting the United Nation's Sustainable Development Goals

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A circular economy model for reducing food waste in the University sector: meeting the United Nation's Sustainable Development Goals

ABSTRACT: *The management of food waste in the university sector is critical to the pursuit of sustainability. The results of a food waste audit, conducted over an eight-month period at a regional Australian university, showed that that 12,533 kg of food waste was diverted from landfill, which prevented 23.81 tonnes of CO_2 from being emitted into the atmosphere; furthermore, waste disposal costs were reduced considerably. Along with carbon footprint and cost-benefit analysis, this study captured factors in relation to catering practises and eating habits that helped minimise food waste. The factors contributing to waste minimisation included serving style, type of food, having a second serving, organisational culture, staff training, ordering and accurately catering for the number of expected food consumers.*

Keywords: food waste, institutions, waste management hierarchy.

INTRODUCTION

In recent years, food waste has received increased attention from scholars, policy makers and business leaders all over the world. The second of the 17 United Nations' Sustainable Development Goals (SDG), which were officially adopted in 2015, is to 'end hunger, achieve food security and improved nutrition, and promote sustainable agriculture' (United Nations, 2015). Reducing food waste in institutional settings would ultimately help achieve the SDG target on food waste, which is to reduce per capita food waste globally by 50% at the retail and consumer levels by the year 2030 (target 12.3).

Academic institutions recognise that they have a role to play in promoting sustainability (Baldwin & Dripps, 2012; de Vega, Benítez, & Barreto, 2008; Smyth, Fredeen, & Booth, 2010; Zen et al., 2016). As centres of learning and research, universities are uniquely positioned to foster sustainable behaviour amongst students and staff, which may have an impact on society at large (Zhang, Williams, Kemp, & Smith, 2011). The special role of universities as role models and catalysts of change has been emphasized by the United Nations in its 'greening universities' program (UNEP, 2014). Traditionally, management has been strongly influenced by the philosophy of neo-conservatism or economic rationalism (Dunphy, 2003), but the philosophy of sustainability is evident in the growing number of sustainability programs in the educational sector, such as a paper recycling pilot program at Rhodes University, South Africa

(Amutenya, Shackleton, & Whittington-Jones, 2009). The benefits of eco-friendly waste management include an improved image, reduced carbon emissions from the decreased transportation of waste, and health and safety benefits (Ball & Taleb, 2010). Researchers have addressed the topic of waste management in universities (Sarjahani, Serrano, & Johnson, 2009) and there have been several scholarly articles (Balwin & Dripps, 2012; Epinosa et al., 2008; Mbuligwe, 2002; Mason, Brooking, Oberender, Harford, & Horsley, 2003; de Vega et al., 2008; Smyth et al., 2010) that report the total waste streams generated on campus. To the best of our knowledge, no study has specifically focused on food waste and conducted a food waste audit within Australian universities. This paper describes a case study of an innovative food recovery program in a university and offers recommendations on how to minimize food waste in an institutional setting.

THEORETICAL BACKGROUND

Food waste in institutions and circular economy thinking

Although there are several definitions of food waste in the literature, food waste can be defined quite generally as "any food that is not consumed by humans and can be generated at any level within the food chain (farms, processing plants, manufacturers, commercial establishments, and households)" (Okazaki, Turn, & Flachsbart, 2008, p. 2483). In contrast to the large literature on household food waste (Stancu, Haugaard, & Lähteenmäki, 2016), scholarly publications on food waste management in the food service sector are sparse, but growing (Falasconi, Vittuari, Politano, & Segrè, 2015; Okazaki et al., 2008; Papargyropoulou et al. 2016; Pirani & Arafat, 2016; Pirani & Arafat, 2014; Silvennoinen, Heikkilä, Katajajuuri, & Reinikainen, 2015; Sonnino & McWilliam, 2016; Sundt, 2012). There has been several reports on food waste in relation to food service (Vergese et al., 2013; Parfitt, Eatherley, Hawkins, & Prowse, 2013, WRAP, 2017), showing that policy makers are seeking to identify the reasons for food waste and develop solutions, which supports the design of effective 'circular economy' business models (Lewandowski, 2016). Food waste may be explained by numerous factors, such as inaccurate forecasting of consumer demand; the style of service (buffet style); the type of food served, such as rice, or other carbohydrates, that are generally served as meal fillers or a side-dish, large portions and plate size (Pirani & Arafat, 2016). Catering and procurement practices, such as bulk preparation, the need for

standardisation, along with budget concerns, result in high levels of plate waste (Sonnino & McWilliams, 2016). Other problems include the lack of attention to dietary habits of young children, rigid food procurement specifications, menu composition and meal presentation (Falasconi et al., 2015).

Food waste management strategies should follow waste hierarchy principles with waste prevention (Papargyropoulou et al., 2016; Thyberg & Tonjes, 2016) being the preferred option. Food waste can also be turned into compost which helps 'close the loop' in a circular economy (Borrello et al., 2017). Composting has proven to be an attractive measure to deal with waste since it is cost effective as well as being environmentally-friendly (Wei et al., 2017). It also produces a useful, final product; for instance, horticulturists can use high quality compost to enhance plant growth, increase vitamin C and soluble sugar content, and reduce nitrate content (Guo et al., 2018). It is attractive to governments since it helps lower the cost of managing landfills, pollution impacts and public health threats. In addition, it supports land management practices, since long-term, inappropriate chemical fertilizer, application has led to the severely degraded soil (particularly in China) and compost can improve soil fertility (Guo et al., 2018). However, composting is not standard practice in the hospitality sector. In Australia, this sector recycles only 2% of the food waste they generate (Vergese et al., 2013). It has been argued that legislation makes dumping "too easy and too cheap" (Googe et al., 2010, p.7). Okazaki, Turn, & Flachsbart, (2008) offer insights into why establishments do not recycle food waste. The most prevalent response to their survey was that little or no food waste was generated by the establishment, and the second most common reason was that separating food waste from the overall waste stream was too time consuming or costly. This study examines approaches to preventing waste in a University, food waste prevention at the catering level and composting, and assesses whether they conform to circular economy thinking.

METHODS

This study adopts a case study approach since this is common in the literature that deals with sustainability programs undertaken by universities (Zen et al., 2016). Semi-structured interviews were conducted with a catering manager and an executive chef to shed light on the food service operation on campus. Both individuals were trained chefs and had worked in the 'for-profit' and 'not-for-profit'

hospitality sectors. Interviews were conducted with the General Manager of a private company, VRM, and an employee who handled the food waste. VRM is a company that has pioneered a system for the biological treatment of food waste that helps return nutrients to the earth, and hence enriches the soil. All interviews were carried out in person and each interview lasted approximately one hour. The questions asked in the interviews were developed after a thorough review of publications on food waste recovery and food waste in the hospitality sector. The questions assessed food waste minimisation; reasons for participating in the food recovery program; reasons for variations in the food waste data; barriers, keys to success; measures of performance; future directions and general interest in matters related to sustainability. Ethics approval was secured from the Human Ethics Committee in the authors' university (H6601). The next section gives background information on the chosen university, its sustainability efforts, business partners and the methodology used to recover food on campus.

The university and its food waste recovery program

The selected university is James Cook University, and it has an enrolment of 12,831 students and employs 3,483 staff at its main Australian campus in Townsville, Australia. The university has a long-standing commitment to sustainability and has won awards for its sustainability efforts under the 'Green Gown Awards Australasia' program (https://ggaa.acts.asn.au/), which aims to inspire, promote and support change towards best practice sustainability within the tertiary education sector (Australasian Campuses Towards Sustainability, 2017). The university has a 'Sustainability Internship' program and engages between 30-50 students each year in on-campus sustainability projects. Staff and students are responsible for recycling. All staff rooms and public areas have recycling bins and there are separate bins for food waste. The university's 'Waste Reduction Management Plan' (2015) revealed that the university had little to no data on the food waste stream. Beginning in 2017, the Estate Directorate worked with a student intern to begin a systematic characterization of the residential food waste stream to address this lack of data. There are three university-owned residential halls, hosting approximately 700 students, and the vast majority, if not all, of the residents at the halls, eat all of their meals in the dining hall or in the food court, rather than in their dorm rooms.

The food recovery program was conducted with the support of two parties, a private company and the university's contract caterer. Compass Group is Australia's largest food services provider and it operates 480 sites across Australia (Compass Group, 2018a). The organisation purchases around 50,000 tonnes of fresh food every year, making it a very large food buyer (Compass Group, 2018b). In relation to education, it provides a contract food service that covers cafes, university food-halls, live-in college school meals and special event catering. In 2018, it launched the 'Stop Food Waste' campaign, which features improved food ordering guides, menu-planning guides, tips on how to repurpose food as well as donation of surplus food to a charity (Compass Group, 2018c). Its target is to reduce food waste by a minimum of 10% and eliminate food waste going to landfill by 2020 (Compass Group, 2017).

The university decided to utilise a commercial solution from a private company, VRM, to process its food waste. VRM is an Australian company that has a patented system (i.e., Bio-Regen®) that captures organic material and converts it into a liquid formulation containing key biological elements to enrich soil health (VRM, n.d). Markets for the final product are agricultural and horticultural markets as well as local councils that manage gardens. According to the company personnel, the fermentation solution is more sustainable than the prevailing option of composting, since the microbial process sequesters carbon and nitrogen and produces water as a by-product. After learning about the technology, the Environment Manager from the university secured the support of VRM to conduct a pilot food waste recovery program on campus. Participation in the university's food waste recovery program was voluntary and not contractual in nature.

DATA ANALYSIS

With regard to the food waste audit, all data was analysed by the same student intern over the course of the eight-month study, ensuring consistency and continuity in raw data interpretation, formulation, and expression. Data was sorted into categories based on college dining hall, the week the waste was collected and type of waste processing system used. In addition, residential college capacity and student demographics (i.e., presence of domestic or international students in the hall, general year of study) were taken into consideration when attempting to identify trends. All interviews with catering managers were

recorded and the data was transcribed verbatim. The qualitative data was analysed for themes and simple meanings. Due to the limited number of interviews, the data was analysed manually without the assistance of computer software.

RESULTS

Food waste audit

The amount of food waste, by weight and number of buckets, differed by residential colleges over the length of the study, with one hall, George Roberts (250 students), consistently having more buckets, and another hall, Western Courts (107 students), consistently having the fewest buckets and the lightest buckets. Over the course of the eight-month study, this translated to George Roberts producing nearly half of the total waste collected, which was a total of 12,533 kg processed (see Table 1). When compared to the university's academic calendar, a clear trend in the food waste produced became evident. As expected, there was a substantial drop in food waste during the winter holidays, when students left the campus. Furthermore, there appeared to be an increase in total food waste on particular weeks. The colleges were producing an average of 363 kg of food waste each week, but on particular weeks, food waste levels increased to over 450 kg.

Insert Table 1 about here

Carbon footprint analysis and cost-benefit analysis

In order to illustrate the environmental benefits of the food recovery program, the weight of diverted food waste was converted to tonnes of CO_2 emissions. The total food waste diverted from landfill over the course of the study was 12,533 kg, which equates to stopping 23.81 tonnes of CO_2 from being emitted into the atmosphere (Table 2). Cost/benefit analysis of the food recovery program was undertaken, however a net cash loss of $10,451 was recorded. Although the capital costs for the processing unit and its installation were modest in comparison to other food waste processing systems ($18,341), the operating costs ($37,802) exceeded income from the sale of the fertiliser ($9,010), as well as offsets from the reduction of waste disposal costs ($12,469 per annum paid to Council to dump food in landfill). The major operating expense was labour, which was required for the collection and processing of the food

waste. In terms of income, it is expected that additional liquid bio-fertiliser production will occur in the second year (due to planned collections from two additional large residential kitchens on campus), thus generating a better return on investment in future years.

Insert Table 2 about here

Food Waste Recovery and Waste Minimization – Views of University Partners

The food recovery program required a minor change in practice for the food service provider. The respondents indicated that they had some concerns initially with working with an outside party, such as the food bins taking up too much space in the kitchens or waste not being managed properly. However, the Head Chef was very pleased with how well organised the food recovery program was: *"I can't think of any major negatives. It's been the best one I've been involved in. This has probably been the easiest one…It's very difficult to get into a routine…all the buckets are different shapes and sizes, so things get too big and too difficult to weigh, so you have people coming along with your own buckets, picking them up , that's been key, and weighing it…it's been great. Every week, you monitor it".*

Educating kitchen staff on how to dispose of the food waste and avoid contamination was not difficult and instructions became part of the staff induction program. There was some variation in terms of level of food waste between the three university residential halls and the catering staff suggested that this was due to the number of residents at each hall. The general manager of VRM saw the pilot as successful in terms of a "*practical operation process"* as they learned to operate the Bio-Regen® unit without "*having it break down, without having smells, leaks and so on"*. The main driver of success from VRM's perspective was the enthusiasm and commitment of the university's Environment Manager: "*Let's be honest about it. If you're driven by this as a people, then it tends to be contagious. So, I think the fact that Adam and his team have been so proactive in that respect has allowed the program to grow and to have success*."

In addition, they saw an opportunity for the university to "*be a leader in that learning environment*" in

terms of sharing their experience with food waste with local schools and other universities. A need for new thinking about waste was emphasised: "*…and shift that mindset from waste to resource because I think that's the big thing. Getting people to understand that waste is not a burden. Waste is actually a resource that can be used".*

The interviews with the catering managers indicated that several strategies were used to minimise the amount of food wasted in the kitchens. The details of the food waste management process are shown in Figure 1. The first stage, ordering and preparing the right amount of food was seen as the most critical control point in the food service process that helped minimize food waste. The amount of food ordered and prepared was based on the number of people expected to eat the meal and previous waste levels (i.e., meal counts). The waste generated depended heavily on the type of produce ordered. For instance, if watermelon was prepared, then the chef knew that this would lead to a very high level of wastage in terms of weight (e.g. rind, seeds). Repurposing of food was commonplace, for instance if potatoes were served for dinner, then left-overs would be used in a salad the following day, or tomatoes would became tomato soup. The menu choices were based on the experience of the chef, but they had to adhere to corporate guidelines in relation to cost. The catering manager emphasised that staff were highly cost-conscious, remarking that *"any time you waste food, you are wasting money".* The chefs knew the price of each item on the menu, and food waste awareness was instilled in the kitchen staff through corporate culture and peer pressure. In addition, the parent company placed a strong focus on measuring waste. In the words of the catering manager: *"As an entire business, we look at trends and we look at our rates, and it goes up onto a big chart, we can break it down by sector, we're the educational sector…so we can see if particular sectors are wasting more than other sectors are, so maybe one sector is doing really, really well, and we can say - why are you guys doing so much better than everyone else? What are you doing differently that we are not? All the data is helpful for us; also it goes to the entire company and it allows us to analyse that data".*

The canteen used the regular, buffet style of service, where consumers line up, serve themselves and take food on their plates. The only exception to this was the meat dishes, wherein the canteen workers served

the meat to people in order to control portion size, and hence minimise cost and wastage. A second serving of food took place after the main meal to enable students to use up food left in the serving trays. In addition, a decision was taken to serve take-away food on plates rather than in large containers, which not only reduced waste, but also helped convey abundance in the mind of the diner: "*that's a whole plate of food".* The catering staff were mindful of health and safety restrictions which specify how long food can be kept and under what conditions before it must be thrown away (i.e., as unfit for human consumption). Moreover, the chefs and kitchen staff used strategies to minimize food waste generated due to spoilage or expiry while in storage. This included cold chain management, ensuring that a first-in, first-out system was applied for food inventory, such as using up perishable ingredients, and at the end of year, using up all frozen or stored food before buying new provisions. They also knew when students would be away on holidays. If food was unconsumed, then they had the option of giving away excess food to other sites or charities, although that was considered to be a sign of poor stock management. Plate waste, which was estimated to be around 15% of total food waste, was seen as uncontrollable, and the chefs realized that they had to satisfy the students and allow them to take large servings even though they did not need it all. They also suggested that food waste tended to increase around exam times, when students were likely to be stressed or preoccupied, and hence inclined to take more food.

Insert Figure 1 about here

DISCUSSION

It is clear from the results that the food recovery program delivered some cost savings and environmental benefits. Landfill diversion resulted in waste disposal savings of $12,528, but the most important outcome, arguably, was avoiding environmental harm whilst building a positive image for the university. An estimated 12,533 kg of food waste was diverted from landfill, which represented an offset of 23.81 tonnes of carbon emissions over the span of eight months. Previous studies confirm the benefits of sustainability to the university sector (Amutenya et al., 2009). The cost-benefit analysis showed that installing the Bio-Regen® technology to recover food waste was not viable in the first year of its operation, but it could be a cost efficient option in the long term, particularly given the introduction of new waste levies (AU$75 per ton) by the state government (Queensland Government, 2018).

The food waste audit showed that the colleges were producing an average of 363 kg of food waste each week. On particular weeks, food waste levels increased to over 450 kg, although the interviews with the catering staff did not reveal clear explanations for these patterns, apart from the type of food served (i.e., watermelons leading to more preparation waste). There was some variation in terms of level of food waste between the three university residential halls. Over the course of the eight-month study, George Roberts (250 students) produced nearly half of the total waste collected, at 5,678.33 kg, whereas Western Courts (107 students) consistently produced the least throughout the study, at 2,378.37 kg. Interviews with catering staff suggested that this was due to the number of residents at each hall. Previous research has found a link between food establishment size (measured by the number of meals served per day or the number of employees) and the amount of food waste recycled (Okazaki et al., 2008). The food waste audit revealed that food waste dropped substantially over the winter holidays, with a 54% decrease recorded, and not surprisingly, the catering contractors limited the amount of food ordered and served when holiday periods arose. Based on the interviews, the catering staff appeared to be doing an acceptable job in estimating demand based on seasonality, and meal counts, but having exact figures on food waste each week might raise awareness of kitchen waste even more, and help them adjust catering practices to accurately meet demand.

Broadly speaking, the case study showed that the Universty's practices for dealing with food waste conformed to circular economy thinking (Jurgilevich et al., 2016: Lewandowski, 2016), and the waste hierarchy (such as that developed by the European Commission under its 2008/9 Directive on Waste). The waste hierarchy refers to a ranked series of preferential measures for dealing with waste, moving down from reducing waste, to recovery, to landfill (European Commission, 2016). A concerted effort was made to diminish dining hall food waste, such as ordering and cooking just enough food; portion control of protein; having a second serving of food and serving food on plates rather than in large take-away containers. The data findings are in line with previous research, such as avoiding excessively large portions (Alexander, Gregson, & Gille, 2013); controlling servings of meat, an element that is often central to the meal; accurate ordering (McGuire, 2016) and correctly estimating consumption (Silvennoinen et al., 2015). The kitchen staff, as skilled cooks, knew how to re-use leftovers or

ingredients in order to avoid throwing out edible food. Hence, a continued focus on training for how to re-use and repurpose food is critical, which is in line with industry reports (Bloom, 2010; Gunders, 2012; WRAP, 2017). The interviews revealed that the culture of the parent organisation, Compass Group, with its strong focus on avoiding waste, helped set the tone for all staff and foster commitment to reducing kitchen waste – which represented a waste of money. The overwhelming focus on cost may indicate a lack of awareness of the environmental impacts of food waste and need for sustainability training. Previous research suggests that factors such as culture, goal setting and social pressure help differentiate recyclers from non-recyclers (Bolaane, 2006). The interviews highlighted that the measurement of food waste and dissemination of information throughout the company was useful in driving waste reduction. Likewise, the WRAP report in the UK (2013) highlights the importance of waste monitoring, although previous research has found that many restaurants do not know the amount of food that they waste and its real impact on profitability (Maguire, 2016).

Plate waste, or post-consumer waste (Pirani & Arafat, 2016), was not considered by the chefs to be under their control, and there was a reluctance to limit servings since this would decrease customer satisfaction, which is in line with previous research (McGuire, 2016). It was estimated that plate waste was around 15% of total waste, which is quite high. Hence, there may be opportunities to reduce plate waste through a change in catering practices, such as serving food in measured portions, rather than a buffet, and offering multiple servings to cater for diners who need more food. Investing in education and social marketing interventions would also be worthwhile. Whitehair, Shanklin, & Brannon (2013), for example, achieved a 15% reduction in food waste generation from university canteens by using written messages such as 'Eat what you take. Don't waste food'. Social marketing interventions, such as showing a weekly pile of plate waste to the students, or running competitions between the colleges, might engage students by linking them to the waste they produce and promoting mindfulness of habitual behaviours. The food recovery program, which entailed the microbial fermentation of food waste, represented a novel process for dealing with food waste. It was evident from the interviews that the role of the university's Environment Manager was crucial to the success of the recovery program. This study provides support for the work of scholars on how to avoid failure when implementing a waste management strategy. For

instance, if composting is left to residents or staff in kitchens, it is likely to have its challenges, such as the time and inconvenience of putting waste into bins, need for student education regarding proper usage of the composting units, odour control in the vicinity of the compost vessels, and proper nutrient balance within the vessels (Balwin & Dripps, 2012). The case study showed that giving information to kitchen staff on the food recovery program helped promote compliance. Research in the recycling field shows that pro-recycling attitudes are the major contributor to recycling, along with facilities and knowledge, but situational factors or deterrents to physically recycling, such as time, space and inconvenience, should be avoided (Clarke & Maantay, 2006; Tonglet, Phillips, & Read, 2004). Recommendations for other universities that wish to implement similar programs are to ensure that the process is as seamless as possible, remove any inconvenience to kitchen staff, work closely with business partners, and be prepared to invest time and energy into solving practical problems.

CONCLUSION

Universities are central to promoting sustainability since they are generators of waste and serve as role models for students, staff and the community. The results of a food waste audit showed that diverting food waste from landfill had economic and environmental benefits. Amongst its success factors, were the commitment of the university's Environment Manager to the program, an effective internship program and the support of the business partners. The design of a circular business model for dealing with food waste requires an assessment of the food waste stream, cost-benefit analysis and a thorough understanding of the catering practices and eating habits responsible for generating this waste. This study adds to the literature on food waste in an institutional setting.

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Tables and Figures

Residential Hall	Total Food Weight (kg)	Number of residents
University Hall	4,476.33	289
Western Courts	2,378.37	107
George Roberts	5,678.33	250
Total	**12,533.03**	646

Table 1
Total food weight (kg)

Variable	Food waste diverted from landfill	Emission factor (t CO2-e/t waste)	Carbon emissions (t CO2-e emissions)
Amount	12,533 kg	1.9	23.81

Table 2.
Carbon footprint conversion for the total food waste diverted from landfill over the course of the eight-month study. Conversion factor taken from Department of Energy and Environment, 2017.

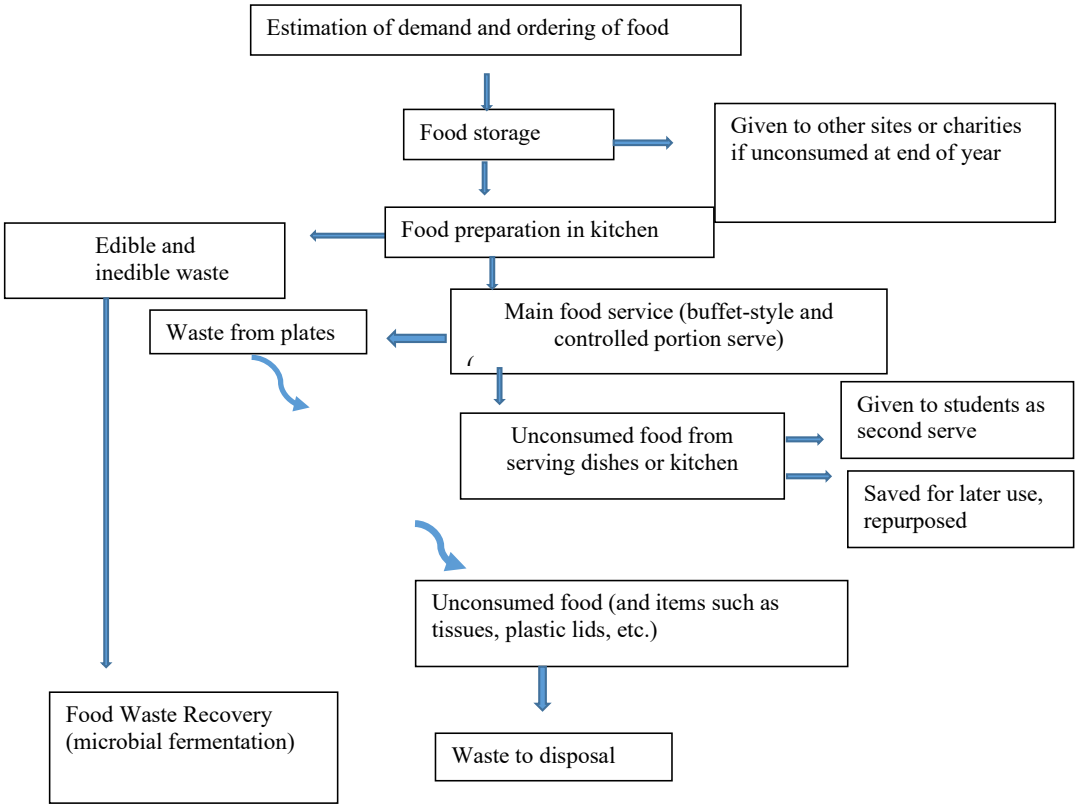

Figure 1.
The flow chart of activities in food service that helped minimise food waste

Stream Number 8: Management Education, Learning and Teaching

Interactive Session

Block Mode Teaching For First Year Business Students: Positive Outcomes

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Stream Number 8: Management Education, Learning and Teaching

Interactive Session

BLOCK MODE TEACHING FOR FIRST YEAR BUSINESS STUDENTS: POSITIVE OUTCOMES

ABSTRACT: *The block mode of teaching is an innovative new approach for tertiary education in Melbourne, Australia. This change in education for first year students promotes a new outlook which caters for this student cohort. The block mode encourages student engagement through supportive learning communities. The intensive style of block teaching assists in developing positive relationships between teacher and student allowing greater flexibility to meet student needs.*

Keywords: block mode, student engagement, community of inquiry, blended learning, flipped classroom, learning communities

This paper will explain the change in student behaviour between the traditional 12 weeks of studying four different units at a time using teaching methods such as lectures and tutes compared to the block mode of study. Here lectures are generally one-way communication with an oral presentation given by an instructor most often in a university setting to a large audience of students. In this, scenario students passively absorb unit specific information (Berrett, 2012; McCarthy & Anderson, 2000). Whereas tutes constitute smaller groups of students in a classroom style of learning, discussing lecture material with an instructor (Lubin & Sutherland, 2009; Dawson, 1998), compared to going to a block mode of teaching whereby students attend class three times a week studying one unit at a time for a total of four weeks (VU, 2019). This paper will be based on a lived experience of teaching two first year units Management and Organisation Behaviour (BMO1102) and Integrated Business Challenge (IBC-1) under both styles and supported with findings of literature. It will also include discussion of using a flipped classroom approach, blended learning and the Community of Inquiry (COI) framework. The block mode of teaching is a relatively new, innovative style of learning that is changing the horizon of tertiary education. This innovative style is creating greater opportunities for students who feel that the traditional way of studying four different units for 12 weeks is not providing them the chance to successfully achieve their career and education goals. This paper discussed the effects of the block model of teaching on first year students at Victoria University who now have an avenue to accomplish course completion.

PRE AND POST BLOCK

VU in 2018 introduced the block mode of teaching for first year students, this meant for me that I would have the same class of students three times a week for a session of three hours making nine hours of contact, rather than seeing them once a week for a three hour class for a 12 week semester. Having greater regular contact gave me the opportunity to assist students with their unit focus by being able to answer questions as they arise, rather than having to wait a week before I saw them again. This pre block wait time for some students added to their confusion if they were unsure of any unit content or university procedures placing them in an overwhelming environment which resulted in a few of these students withdrawing from the unit altogether. The block mode can assist teachers to be

more aware of students who are experiencing difficulties in settling into the unit at an earlier stage and take the necessary corrective action.

Why Change

The First Year Model of block teaching can be considered to be an innovative approach to tertiary education as it can assist with student retention and engagement past the first year. There are many benefits for students using the block approach such as the following:

Less stress: As students only focus on one unit at a time so that, they can adjust and settle into university life.

Increased face-to-face time with teachers and peers: This helps create better relationships of trust and support. It becomes more personal as teachers and students know each other's names making them more approachable.

Greater flexibility: The block mode allows students to plan their studies around work and other commitments. Students have the choice of attending morning, afternoon or evening sessions three days a week. With the addition of summer and winter blocks students are able to catch up on missed or failed units as well as being able to speed up their course to reach completion earlier.

Confidence and collaboration: The First Year Model concentrates on interactive learning and group work. This allows students to build on their levels of confidence through the sharing of ideas to familiar faces. It creates safe learning communities whereby students can become more willing to debate their point of view and enrich their learning experiences (VU, 2019).

The First Year Model of block teaching has used pedagogy from the CoI framework together with blended learning as a way to engage and create meaningful, collaborative learning experiences (Vaughan, Cleveland-Innes & Garrison, 2013). This approach provided the platform to develop units with great care to cope with specific circumstances, namely first year students. First year students are different from experienced students. This student cohort present a challenge for most universities. A growing number of first year students are not well prepared for university learning. This can be part of

pre university culture, which comes through study habits, what students understand education to be along with time availability and life responsibilities. First year students need to be acclimated to university along with the new and possibly more demanding expectations of university life. To ease and help reduce this change and for some difficulty with adjusting to first year the block mode assists in removing the 'one size fits all' approach and tailor to student's individual needs (Leamnson, 1999).

BLOCK MODE

I have found the block style of teaching to be quite rewarding for both my students and myself. Students by coming together three times a week quickly get to know each other and make good friendships. Students also develop a more comfortable relationship with myself as it is easier to talk and feel at ease. Trust and support is very quickly established during and after class and becomes a classroom norm. This relationship has strengthened under the block mode, which has allowed for a deeper and more positive learning experience for students. Students feel more comfortable asking questions of each other as well as myself. It helps break down the barriers of approaching someone if you do not understand something. This greater constant contact with students in the block mode gives me increased opportunity to watch and gauge student dynamics in both groups and individually when it comes to understanding unit content and completing set classroom activities and assignments. Providing students with extra help when needed implies care and interest in their well-being. When students experience this they are more inclined to work harder and with greater energy and enthusiasm as they tend to feel acknowledged and valued (Leamnson, 1999).

Staff/Student Interaction

By having, better-established relationships or friendships attendance rates have improved under the block mode. Students are less inclined to miss class, as they do not want to disappoint their group members or friends. Having a more at home feel to the classroom and the frequent face-to-face time with students really assists those that may be struggling with aspects of the unit. Students no longer have to wait until the next week to consult with myself if they prefer meeting one on one. I get to see them again in a much shorter time frame. This assists with keeping up the momentum and positive

energy as issues are dealt with as they occur and students can then move on without falling behind in their understanding of the content or their pieces of assessment.

Assessment Design

The design assessment constitutes of 'Before Class', 'In Class' and 'Post Class' activities. This set up is for students to engage in relevant material whereby topics are introduced in readiness for further application once in the classroom. This creates the platform for students to apply the concepts to assignments. Each piece of assessment is a precursor for the next. This scaffolding approach allows students to practice skills and techniques, increase knowledge and receive direct feedback to improve ability and understanding of the relevant topic. This arrangement of tasks and assignments provides students with support to assist their learning. As students acquire the necessary skills, support may be lessened, as they become capable, independent learners (Hammond & Gibbons, 2005).

With 'Before Class' activities which are available online students are able to watch (videos), listen (audio summaries) and read (text book/articles) which supports a flipped classroom approach (Jensen, Kummer & Godoy, 2015). This asynchronous task gives students the opportunity to work at their own pace, reflecting and going back over material as many times as they require to gain an understanding of the topic for the current classroom session. The before class activities give students the basic theory aspects of the topic which cover the learning outcomes of being able to explain, define and describe Leadership terms, theories and place that into a business context (Jensen, Kummer & Godoy, 2015).

Once in class, the assumption is that students have done the pre class preparations and so face-to-face time with direct instruction with the teacher is spent explaining assessment requirements. This activity is also worked upon in class as well as teacher constructed work groups whereby students work collaboratively on case studies, discussion questions that relate to 'Pre Class' activities and further analysing aspects of the topic of the session. These synchronous tasks provide an environment for direct feedback from both students and the teacher as well as creating a cognitive presence whereby all the above constructed building block activities allow students to assemble their knowledge on the session's

topic and in their learning communities with their peers and the teacher create a supportive learning environment (Linder, 2016). The group work in the classroom with the teacher promotes a social presence (Col) which supports a constructivist view assisting to establish a rich environment strengthening individual commitment to the unit (Al-Huneidi & Schreurs, 2013). Students are also able to re watch the video or access online material for their discussion questions etc. using their own laptops or the computers on the classroom tables, which are part of a technology, enabled active learning classroom (Jenson, Kummer & Godoy, 2015).

FLIPPED APPROACH

The First Year Model is further support by using the flipped classroom approach. The flipped classroom is a reversal of traditional teaching (lectures) to students viewing videos, topic overview material and chapter textbook reading to commence understanding of the topic, all before class and in a student's own time. Once in the classroom students can then concentrate on 'harder' tasks that require assimilating the knowledge from their pre class activities to applying that knowledge through strategies such as discussions, case studies, problem solving and debating (Wanner & Palmer, 2016;The University of Queensland, 2014; Educause, 2012; Tucker, 2012).

'Class becomes the place to work through problems, advance concepts and engage in collaborative learning' (Tucker, 2012, p.82).

To provide further assistance to students with the pre class-reading component from the text book students take part in a Jigsaw Read in the classroom for BMO1102. The Jigsaw Read is a cooperative learning strategy that gives students the opportunity to actively help each other out by sharing the chapter reading for the session. This requires students to form a home reading group of four, constituting four distinct readers (Reader 1,2,3 & 4), each reader is allocated a set number of pages by the instructor to read of the chapter (about five pages) which is done in class in their nominated groups. Once students have read their section, taking notes as they go along they will then move to a new group called the 'Expert' group. The Expert group consists of other students who have read the same pages/material according to which reader they were. Each student is to share and compare his or her chapter notes. On completion of this activity, students re-join their original group and explain or

teach that section of the chapter to the remaining home group members. 'Just as in a jigsaw puzzle, each piece – each student's part – is essential for the production and full understanding of the final product' (Mengduo & Xiaoling, 2010, p. 114) which in this case is the chapter of the text book. The strategy behind the jigsaw read is that it emphasises cooperative learning by giving the students the opportunity to actively help each other out building comprehension together (Kazemi, 2012; Mengduo & Xiaoling, 2010).

The flipped classroom is a specific type of blended learning design which is further supported by the contemporary framework Community of Inquiry (CoI) which is composed of a social presence, cognitive presence and teaching presence (Vaughan, Cleveland-Innes & Garrison, 2013). This framework will be analysed in relation to contemporary online learning tools that are incorporated into blended learning when using a flipped classroom (Strayer, 2012) for BMO1102 and IBC-1. Here technology has had an influence on teaching design and learning outcomes, by removing lectures from the classroom and providing additional support unit/content material online and using learning activities that can be explored, developed and practiced within the classroom can be achieved when using the flipped classroom approach (Linder, 2016). Consideration also needs to be given to delivery and accessibility of course/subject content and acceptance and understanding of students using this design for deeper level learning (Strayer, 2012). Blended learning continues to grow in popularity as a modern and effective trend for accommodating an increasingly diverse student cohort while at the same time adding value to the learning environments both inside and outside the classroom. Diversity can be looked upon as a catalyst for growth and greater learning (Baik, Naylor & Arkoudis, 2015; Alammary, Sheard & Carbone, 2014; Oliver & Trigwell, 2005; Graham, 2004). Greater learning that is more personalised by the degree of flexibility and access to information through the advancement of technology makes it possible for students to learn at their own pace, in their own way and encounter material presented to them in a manner that is engaging and meaningful to each student (Alammary, Sheard & Carbone, 2014; Al-Huneidi & Schreurs, 2013; Prince, 2004). This is enhanced by the block mode of teaching, as students are able to receive explanations and further instructions if required in class time allowing students to continue the learning process outside of class.

Blended learning in both classes of BMO1102 and IBC-1 is considered to be 'a hybrid of traditional face to face and online learning so instruction occurs both in the classroom and online and the online component becomes a natural extension of classroom learning' (Torrisi-Steele, 2011, pp. 362-363). This definition importantly recognises that by simply including an online or technological component does not constitute blending learning (Vaughan, Cleveland-Innes & Garrison, 2013). It also emphasises that for blended learning to be effective and adopted institution wide it requires to be strategically and pedagogically supported so that measurable increases and benefits such as improved student learning, access, flexibility and cost effectiveness can be determined (Graham, Woodfield & Harrison, 2013). The flipped classroom as part of the blended learning strategy aims to cater for the diversity within Victoria University whereby students from varied backgrounds, cultures and levels of education have a more equal opportunity to study and be successful, that is in terms of completing first year university and continuing through until course completion. It is designed to help improve student motivation and engagement (Victoria University, 2012; Stefani, 2009).

The Community of Inquiry framework is based on the foundation that learning takes place within three main core elements, which are essential to the educational experience of students in higher education. These core elements being social presence: This creates an environment of trust and open communication amongst students leading to group cohesion. Cognitive presence: This is how students construct and process their thoughts thereby giving meaning to concepts establishing a level of understanding of ideas. With the third core element being teaching presence. Here the teacher is concerned with unit design, facilitating the activities within the classroom and giving direction for students to remain focused and aligned with their unit of study. The teaching presence is quite significant as it unifies both the social and cognitive presence-assisting students to reach a personally meaningful and educational outcome (Vaughan, Cleveland-Innes & Garrison, 2013; Garrison, Anderson & Archer, 2000).

In relation to the student cohort taking the two first year units IBC-1 and BMO1102, the current population is quite diverse. The demographic characteristics of the majority of learners include the following: 87.8% very low to no Atar score, 76.8% medium to low socio-economic background, 66.1

% mainly speak English, 88.7% age bracket 15 – 24 years of age and 70% highest level of education completed by a parent (year 10 – 12). The last percentages of highest level of education by a parent would strongly indicated that a large majority of Victoria University students are the first in their family to enter university (InfoVU, 2017; Wong, Tatnall & Burgess, 2014).

These learner characteristics influence a working blended learning framework. It is highly important to note that additional support may be required to meet the needs of these specific learners (Linder, 2016; Wong, Tatnall & Burgess, 2014). The blended learning strategies of Victoria University is to enhance and enrich the quality of the learning experience by adopting and applying technology in the teaching and learning process (Wong, Tatnall & Burgess, 2014; Victoria University, 2012). This is where the regular contact with students under the block mode allows for timely feedback and more one on one time with teachers to support and guide students towards a positive outcome (VU, 2019).

The Community of Inquiry framework is based on the philosophy that higher education is a mix of collaboration and an individually constructivist viewpoint towards creating a learning experience (Vaughan, Cleveland-Innes & Garrison, 2013; Oliver & Trigwell, 2005; Garrison, Anderson & Archer, 2000).

Here social presence is supported by face to face engagement, as well as synchronous chat tools, whereby cognitive presence is a construct (building block activities) confirming meaning through progression of scaffolding tasks and assessment. Teaching presence involves the design, tasks and technology that are a lined with relevant pedagogy where students assemble their own knowledge through their own surroundings and experience supporting a constructivist viewpoint (Al-Huneidi & Schreurs, 2013). The social presence within this framework (face to face) assists in ensuring a common ground for understanding by creating and building social relations, thus establishing a rich environment, which strengthens individual commitment to the unit (Kerres & De Witt, 2003).

Facilities/Resources

In relation to the teaching presence, the physical environment of the teaching space is conducive to the learning experience of the students. In my units, the design of the rooms create a comfortable,

casual atmosphere. The tables are kidney shaped whereby students sit around the table facing each other to promote table talk or discussions. They have screens and keyboards to access on line resources and complete activities at their own pace. There are larger screens around the walls of the room for the facilitator/tutor to show videos, power point slides, topic overviews and directions/explanations of important terms or concepts. The students when answering questions have whiteboards on which they write their workings, brainstorming, mind mapping etc. This arrangement of room design and classroom activities motivates students to be actively involved, move out of their chairs and keep their minds focussed. This redesign gives students the opportunity to reengage and in doing so improve their motivation to complete classroom tasks (Educause, 2012; Tucker, 2012). The features of classroom design along with active, engaging student activities takes on board a holistic approach which is very characteristic of the flipped classroom showing how social aspects influence learning and knowledge uptake by apply a constructivist learning theory (Merriam, 2014). Students also have time in the three hour session to work on current assessment. Here they can ask questions or show me drafts of what work they have done. It gives me the chance to provide students with direct feedback and sort things out on the spot thus creating a supportive atmosphere. Students can feel that they have a helping hand at their fingertips which creates an inclusive culture within the classroom. It also gives students the confidence to contact me by email to sort out concerns online after or before class as well as on the weekends. Developing this type of student-teacher relationship allows students to feel valued and acknowledged. It instils in students a positive self-belief that someone thinks they are worth the time. This can then provide the drive for students to work harder and be more successful in their academic endeavours. This focus works very well with the diversity amongst VU's student cohort. It provides the platform for blended learning techniques to create student learning communities with each other and myself. By incorporating face to face time and e learning through VU Collaborate it facilitates learning flexibility. Students can continue learning and deepening their understanding of a topic both in and out of the classroom. By having more frequent concentrated classroom time and an inclusive supporting culture the quality of student assignments has improved. Those that could possibly have got lost under the traditional 12 week semester now are picked up or noticed before any real harm has occurred in relation to their learning and assessment.

The block mode is an intensive approach to teaching whereby units are completed over a shorter time frame (four weeks) rather than the traditional way (12 weeks) (Male, Baillie, Hancock, Leggoe & MacNish, 2017; Kuiper, Solomonides & Hardy, 2015; Davies, 2006). By having three set sessions a week students are better able to juggle their home life, university life and work life. Students are more likely to require flexible modes of delivery and learning as many students are working significant hours or are traveling longer distances to attend university. This allows students to focus on course content, as they are required on campus for a shorter length of time on fewer days per week. This approach of block learning better aligns with students becoming lifelong learners as they can find classes that fit around other commitments. Another component regarding the diversity of our student cohort is a higher proportion of mature-age working adults and carers. The block mode of teaching and learning for these students can be considered as more family friendly as it can provide more opportunity for these students to balance study and their caring commitments (Karaksha, Anoopkumar-Dukie, Grant, Davey, Nirthanan, Arora, Hope, Bernaitis, McFarland, Hall, Haywood, Holani, Grant, Chess-Williams & McDermott, 2013; Male et al., 2017).

CONCLUSION

Blended learning frameworks such as the Community of Inquiry allow for continuous thinking in relation to unit design, pedagogy and student engagement. It gives flexibility in terms of adopting and changing unit activities to meet the learning needs and acceptance of technology with students (Vaughan, Cleveland-Innes & Garrison, 2013).

While ‘learning communities provide the conditions for discussion, negotiation, and agreement in face to face and online environments’ (Vaughan, Cleveland-Innes & Garrison, 2013, p. 247), in terms of online student readiness, techniques such as face to face still require to be strongly supported as students with the learner characteristics found amongst the VU student cohort feel more familiar and comfortable with this type of engagement (Wong, Tatnall & Burgess, 2014). The block mode of

teaching within the First Year College has provided a means to achieve this through the increase in face to face contact hours per week along with additional online support material (VU, 2019).

Blended learning being cyclical and progressive in nature allows for a gradual uptake of acceptance and adoption by the students of Victoria University for the two units. As students become more familiar with online activities and self-management, the block model can accommodate this student cohort thus increasing the effectiveness and opportunities for an enriched, deeper learning experience (Victoria University, 2012). Due to the success rate of the block model in the First Year College this way of teaching will progress into second year (2019) and third year (2020), building on the learning experiences and abilities of students coming through (VU, 2019).

The philosophy of the block model is to create greater educational opportunities by providing an alternative approach to the traditional tertiary experience of learning. This restructure of the first year program encourages immersive and deep level learning in a supportive environment based on trust and care of a student's total well-being (VU, 2019). The block mode of teaching provides the foundation for students to engage in activities collaboratively and cooperatively learning off each other in a safe, comfortable environment that is transformational. The block mode of teaching provides time and space for students to construct knowledge for themselves and become independent, lifelong learners. It provides students with the chance to be life ready and technology ready by enhancing two-way communication amongst peers and teachers in a social setting to reach new levels of knowledge and education.

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12 Public Sector Management and Not-for-profit
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This isn't rocket science! A blueprint for engaging with stakeholders in public sector based on evidence from local government.

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12 Public Sector Management and Not-for-Profit
Delivered

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ABSTRACT:

Stakeholder engagement is a critical area of interest for local government particularly as local government plays a key role to enable local decision-making to achieve local outcomes. An essential aspect of local government management is 'value for money' which implies greater expectations and increased accountability from various stakeholders. Our research examined existing literature on stakeholder engagement and identified that the most effective ways of determining stakeholder relevance are based on both 'stakeholder salience' and 'issue salience'. By applying an engaged scholarship approach at a local council in Asia-Pacific, this research makes a contribution towards enhancing stakeholder engagement. We propose a blueprint based on determining salience of stakeholders and issues that matter to these stakeholders as an approach to reducing disruption.

Keywords:

Local government, stakeholder analysis, public sector, engaged scholarship, strategic management

Real knowledge is to know the extent of one's ignorance.

Confucius, Chinese Philosopher (551-479 BC)

KNOWLEDGE IS POWER

Stakeholder engagement in public sector is critical for delivery of better outcomes (Perrott, 1996). However, stakeholders' diversity implies that a "one size fits all" approach would not work as stakeholder engagement, particularly in the public sector, is not just about convincing all stakeholders to get on side—it is also about negotiating with stakeholders of different interests by responding to conflicts which invariably requires some degree of compromise (Cunningham & Kempling, 2009). Therefore, a fundamental challenge for government agencies is the need for appropriate approaches that focus on effective involvement of diverse stakeholder groups in order to avoid delays and turbulences (Bridgman & Davis, 2004; Riege & Lindsay, 2006). It is also essential to note that stakeholders would have varying needs; hence, approach needs to be tailored to aspects or dimensions of the organisations' activities that are likely to be of interest for specific stakeholders (Mascarenhas, 1996; Wisniewski & Stewart, 2004). The Confucian wisdom we quoted at the beginning of this paper was intended to be a steer to allow us to explore stakeholder engagement. Indeed by exploring the known we will be able to determine what we do not know already. This will ultimately enlighten us with new discoveries. The purpose of this paper is to examine existing academic literature and propose a blueprint for enhancing stakeholder engagement.

Our analysis of the academic literature available on stakeholder engagement suggested that the most effective ways of determining stakeholder relevance are based on both *stakeholder salience* and *issue salience.* In order to determine *stakeholder salience*, the literature guides us to identify attributes exhibited by stakeholders which could be *power, legitimacy* and *urgency* (Mitchell, Agle & Wood. 1997). By identifying stakeholders based on these attributes there is improved possibility of managing them i.e. helping managers to identify "to whom" or "to what" they should pay attention (Mitchell et al. 1997) in order to understand the influence of these stakeholders. However, such influence is not likely to be considered fully legitimate without also acknowledging the *issue* stimulating stakeholders' interest which has undeniable relevance. This is reflected in the concept of *issue salience* which determines how much any stakeholders' issue resonates with and is prioritised by management of the organisation (Bundy, Shropshire & Buchholtz, 2013)

In order to explore the practicability of such an approach, this research used an engaged scholarship approach - a collaborative form of inquiry amongst academics and practitioners (Van de Ven & Johnson, 2006) as this approach helps produce knowledge that is more penetrating and insightful (Van de Ven, 2007). Local government plays a key role to enable local decision-making and an important aspect of local government management is 'value for money' which implies greater expectations and increased accountability from various stakeholders. An academic researcher was engaged by a local government agency in Asia-Pacific as stakeholder engagement was a priority for Council ABC in order to develop appropriate responses to stakeholder issues. This research was commissioned with a purpose of engaging with staff at Council ABC to identify their external stakeholders' attributes, determine issues that matter and their relevance to Council ABC's priority focus areas outlined in their 10 year strategic plan. Using this research as a basis, the framework we have proposed makes a contribution towards enhancing stakeholder engagement by examining *stakeholder salience* and *issue salience*. We consider this blueprint for stakeholder engagement to allow more vigorous involvement of stakeholders in order to maximise outputs with minimal disruption.

In the following sections, the paper explores literature on stakeholder engagement, describes our research and approach used for data collection and analysis. It concludes with a summary of our findings and the proposed blueprint for stakeholder engagement in public sector while also identifying future research opportunities.

LOCAL GOVERNMENT AND STAKEHOLDER DIVERSITY

Local government plays a key role to enable local decision-making and action on behalf of communities in order to meet the short-term and long-term needs relating to local infrastructure and public services. Local government allows citizens to engage with these long term decisions. As Kloot and Marton (2000) rightly suggest an important aspect of local government management is 'value for money' which implies greater expectations and increased accountability from various stakeholders. However, the stakeholders for local government are diverse which include local citizens who could be individuals, representative groups, indigenous communities, elected representatives, customers of service provided, media, and central government from an administrative and political perspective, regulatory and audit agencies, and employees within the local government agency (Wisniewski & Stewart, 2004). This stakeholder diversity implies that a "one size fits all" approach is questionable as each of these stakeholders would have varying needs and the approach needs to be tailored to aspects or dimensions of the organisations' activities that are likely to be of interest for specific stakeholders (Mascarenhas, 1996; Wisniewski & Stewart, 2004).

Engaging stakeholders

Stakeholder engagement, particularly in the public sector, is not just about convincing all stakeholders to get on side—it is also about negotiating with stakeholders of different interests by responding to conflicts, these invariably will require some degree of compromise amongst the groups. The analysis of academic literature available on stakeholder engagement strongly suggests that the most effective ways of determining stakeholder relevance are based on both *stakeholder salience* and *issue salience.* We outline how the literature has explored both these ideas in regards to stakeholder engagement.

Stakeholder salience

Stakeholders are defined as "any group or individual who can affect or is affected by the achievement of the organisation's objectives" (Freeman, 2010). The need for organisations to understand who and of what type its stakeholders are and how they can influence them has been emphasised throughout the literature on stakeholders (Rowley, 1997). Academics have suggested to analyse stakeholders by asking these three questions -- *who are they? what do they want?* and *how are they trying to get what they need?* (Frooman, 1999).

The questions posed point to the issue of group relevance or salience. The review of academic literature indicates the most effective way of determining stakeholder salience is based on the attributes of *power, legitimacy* and *urgency* (Mitchell et al. 1997). By identifying stakeholders based on these attributes there is improved possibility of managing them by determining stakeholder salience, i.e. helping managers to identify "to whom" or "to what" they should pay attention (Mitchell et al. 1997). Mitchell et al (1997) argued that there could be seven different types of stakeholders based on combinations of the three attributes. We briefly explain these three attributes (see Mitchell et al. 1997 for more details).

Power refers to "the ability [of a person or group of people]... to bring about the outcomes they desire" (Salancik & Pfeffer, 1974). *Power* is a critical indicator of the salience of the group, central to achieving their goals, and is in essence a measure of their potential to initiate change in organisations. Another indication of a stakeholder's power is the degree to which the organisation "pushes back" on the group, that is, how strongly it resists or rejects the influence of the group on its activities or structure.

Legitimacy can be described as behaviour which is "proper or appropriate within some socially constructed systems of norms, values, beliefs and definitions"(Suchman, 1995). In the context of stakeholder groups, *legitimacy* refers to the right of stakeholder groups to influence the organisation by justifying their right to express a collective desire for change described in terms of shared values, policies and procedures.

Urgency can be explained as behaviour that demands a matter to be very important and needing immediate attention. In the organisational context, *urgency* exists only when a claim is critical to the stakeholder. It can thus become an expression of the group's belief that such a situation carries a more immediate threat to the health and well-being of the organisation.

Issue salience

The focus on a particular group or individual and its relevance to the operation of an organisation is critical for understanding the influence of stakeholders. However, such influence is not likely to be considered fully legitimate without also acknowledging the *issue* stimulating stakeholder interest which has undeniable relevance. This is reflected in the concept of *issue salience* -- "the degree to which a stakeholder issue resonates with and is prioritised by management" (Bundy et al. 2013). Such an emphasis highlights that responses by firms and managers are often directed towards "issues and concerns advocated by stakeholders". This makes *issue salience* a potentially dominant driver for action that is often based on the manager's interpretation of the issue as well as management's implicit recognition of the views of stakeholder groups (Bundy et al. 2013).

Issues can be identified as either *consistent*, *conflicting* or *unrelated*. An issue can be *consistent* if it aligns or has an impact on the organisation's value and helps it in achieving its strategic goals and identity. An issue can be *conflicting* if it challenges or threatens the organisation's strategic goals and identity. An issue can be *unrelated* implying it is irrelevant to the organisation's goals or identity. By determining the *issue* type an appropriate response can be implemented by organisations which includes *accommodation, defence, negotiation* or *non-response* (see Bundy et al. 2013 for more details).

RESEARCH PROCESS

An academic researcher was engaged by a local government agency in Asia-Pacific to enable better engagement with its stakeholders. The research used an engaged scholarship approach - a collaborative form of inquiry amongst academics and practitioners (Van de Ven & Johnson, 2006) as this approach helps produce knowledge that is more penetrating and insightful. More importantly it creates knowledge that solves practical problems (Van de Ven, 2007). We concur with Yin (1981, 2017) to observe a "contemporary phenomenon in its real life context". In the next sub-sections, we provide more details about the local government agency and the research method including data collection and analysis approaches utilised for this research.

The local government agency

Engagement with its stakeholders has been a priority for Council ABC in trying to improve its stakeholder engagement by identifying its key stakeholders and determining significance of each stakeholder. Council ABC wanted to develop a stakeholder engagement framework which would allow them to identify their stakeholders' attributes and determine their stakeholders' relevance based on these attributes. Council ABC and its staff were already aware of who their external stakeholders are; however, mapping stakeholders is more complex task and it is important to go beyond the generic classifications of just identifying them and the interactions they have with the organisation (Smith et al. 2010). It is essential to also incorporate a view of how different stakeholders might influence any process and contribute to any activities of the organisation. Greater attention needs to be given to the reality of stakeholder engagement by focusing on three key questions highlighted by Frooman (1999) (i) *who are they?* (ii) *what do they want?* (iii) *how are they going to try to get it?* This needs to be complemented with how much the stakeholders' issue resonates with the organisation and is prioritised by the management (Ahmed & Cohen, 2019).

This research was commissioned with a purpose of engaging with staff at Council ABC to identify their external stakeholders' attributes, determine issues that matter and their relevance to Council ABC's priority focus areas outlined in their 10 year strategic plan.

Data collection, analysis and findings

In order to determine *stakeholder salience* and *issue salience* for Council ABC, this research progressed through four stages as outlined in figure 1 which could be briefly explained as follows.

Stage 1: Review of academic literature

This research was driven by the objective to harness academic research in order to build relationship between theory and practice. There is growing concerns that academic research is becoming less useful for solving practical problems, i.e. the knowledge transfer problem (Van de Ven & Johnson, 2006). Therefore, stage 1 of this research focused on reviewing existing academic literature related to stakeholder engagement which has been presented in the previous section.

Stage 2: Determining key questions and choosing stakeholders

Following the analysis of academic literature, we identified three key questions to address in order to assist Council ABC to improve its stakeholder engagement.

1. identify how different stakeholders might influence Council ABC and its activities i.e. what are the attributes exhibited by these stakeholders?
2. identify the top issues that matter to these chosen stakeholders and
3. determine the relevance of these issues for Council ABC

During their strategic planning discussions, Council ABC's Executive Leadership Team had identified 18 current key stakeholders as critical. Hence, they wanted to focus on improving engagement with these 18 stakeholders over the next three-five years.

Stage 3: Engagement with staff

Once the 18 current key stakeholders were identified, the engagement team at Council ABC organised a series of workshops with staff from across Council ABC and used the Delphi technique (Dalkey & Helmer, 1963). The workshops lasted over a period of four months and had participants who were key relationship holders for Council ABC. They had regular interactions with the identified stakeholders. Participants of these workshops included Principal Advisors, Team Leaders, Programme Managers and Senior Leadership Team members. Each workshop lasted 90 minutes and participants were provided a worksheet. The workshops were facilitated by the researcher(s) who provided a context to research before each session. However, each workshop had a different worksheet as there was overlapping of data collection and data analysis which allowed for flexible data collection (Huberman & Miles, 2002).

- Workshop 1 focused on identifying key attributes exhibited by stakeholders. The attributes of *power, legitimacy* and *urgency* were ascertained from the literature review and participants were asked to identify which attributes were exhibited by the 18 current key stakeholders.
- Workshop 2 focused on identifying issues that mattered to these 18 current key stakeholders.
    - Data obtained from this workshop was then analysed thematically to group into Council ABC's portfolios of work.
- Workshop 3 focused on identifying relevance of issues identified for these 18 current key stakeholders relative to Council ABC's portfolios of work and strategic plan objectives. The research team also analysed and presented each stakeholders' vision for participants.

Insert Figure 1 about here

By engaging with staff at Council ABC the research aimed to identify the external stakeholders' attributes, determine issues that matter to their external stakeholders and their relevance to Council ABC's priority focus areas. Our findings from the data analysis are summarised in this section. We posed three questions at the beginning of this research:

1. identify how different stakeholders might influence Council ABC and its activities i.e. what are the attributes exhibited by these stakeholders?

From the research undertaken, we identified that all of the 18 current key stakeholders exhibited a combination of two or more attributes. However, what was critical to note is that participants identified five of Council ABC's stakeholders as exhibiting a combination of all three attributes of *power, urgency* and *legitimacy.* These stakeholders can been classified as *definitive stakeholders* (Mitchell et al. 1997) which was a critical finding for Council ABC.

2. identify the top issues that matter to these chosen stakeholders

The participants provided us with a list of top three issues for all 18 current key stakeholders. They identified 1296 issues across 18 current key stakeholders. During our analysis we identified that many of the issues identified by participants were repetitive. These were hence grouped according to the various work portfolios of Council ABC. While all 18 current key stakeholders had top issues to focus on, our analysis also highlighted three key areas were prevalent across 10 of those current key stakeholders – water quality, ecological concerns and infrastructure adaptability and resilience.

3. determine the relevance of these issues for Council ABC

Council ABC also wanted to determine whether the stakeholders' issues identified by staff were *consistent, conflicting* or *unrelated* (Bundy et al, 2013) in relation to its strategic priorities. Most participants selected all stakeholders' issues as *consistent* with the Council ABC's strategic objectives. Further investigation and discussion with the participants highlighted that they 'were unaware of what was in the Council's strategic plan objectives were.' The limited participation and lack of knowledge by the selected members of the management team hindered the research's ability to obtain valid and reliable investigation into the relevance of issues for Council ABC.

A BLUEPRINT FOR STAKEHOLDER ENGAGEMENT

Council ABC wanted to enhance their relationships with key stakeholders and this research was commissioned with an objective to develop a stakeholder engagement framework as effective stakeholder relations are key to achieving better outcomes (Riege & Lindsay, 2006). We identified that five of Council ABC's stakeholders were classified as *definitive* stakeholders which implies the organisation's management has a mandate to prioritise these stakeholders' claims. It is also important to indicate that this mapping of stakeholders undertaken for Council ABC is static which is useful to raise consciousness and improve effectiveness of management as they deal with multiple stakeholder interests. However, stakeholder attributes are dynamic (Ahmed & Cohen, 2019) and any stakeholder can become a *definitive stakeholder* by acquiring the missing attribute. This may occur through coalition building, political action or social action (Mitchell et al. 1997). It can vary from issue to issue; hence the concept of *issue salience* becomes critical. It is important for Council ABC to review and map these stakeholders at regular intervals based on issues the organisation encounters.

Our research also focused on identifying *issue salience* i.e. what are the issues that matter to Council ABC's stakeholders. As Bundy et al. (2013) noted when examining stakeholder relations it is critical to question ""how do firms cognitively process stakeholder issues to determine salience and subsequent responsiveness?" We note from our analysis of data provided by participants from Council ABC that while there were separate issues identified for 18 stakeholders, three issues were consistent across majority of stakeholders which demonstrates that there are no competing demands amongst stakeholders (Ahmed & Cohen, 2019).

We progressed with Bundy et al.'s (2013) suggestion that by determining the issue type, an appropriate response can be implemented by an organisation and the response could vary from being *accommodation, negotiation, defensive* or *non-response*. This was based on whether the *issue* was identified as *consistent, conflicting* or *unrelated* to the organisation. As we reported in our findings, our attempt to find this information faced a major set-back at Council ABC due to lack of participation. However, the lack of information related to the *issue salience* at Council ABD indicates how critical it is for staff within an organisation to engage with its strategic objectives.

We note that a core challenge for government agencies is the development of approaches that focus on effective involvement of diverse stakeholder groups in order to avoid delays and turbulences (Bridgman & Davis, 2004; Riege & Lindsay, 2006). It is therefore essential that organisations, particularly government agencies, ensure that individuals or groups being engaged with are truly representatives of respective stakeholders (Barnes et al. 2003). More importantly, as Barnes et al. (2003) suggest better decisions are made in public sector if stakeholders are able to participate effectively reiterating Perrott's (1996) suggestion that government agencies need to implicitly classify stakeholders to understand them better and determine their significance to ensure appropriate allocation of time and resources is devoted to them.

In order to address this need for effective stakeholder engagement, we recommended a blueprint for improving stakeholder engagement by using the current research as a base. Our approach accommodates a thorough analysis of stakeholders based on two key aspects – *stakeholder salience* and *issue salience*. We have identified this potential blueprint for stakeholder engagement to improve effectiveness of government agencies while engaging with various stakeholder groups. Our blueprint comprises of the following critical steps which are represented in figure 2 as:

1. Stakeholder Salience – identifying attributes (*power, urgency* or *legitimacy*) exhibited by stakeholders could help determine how they would influence the organisation
2. Strategic Alignment – determining alignment of stakeholder's vision with organisation's work will assist in knowing their strategic direction
3. Issues – determining priority issues that matter to stakeholder through consultation and engagement will help identify their key priorities
4. Issue Salience – determining alignment of issues with organisation's strategic objectives i.e. whether the stakeholder's issue is *consistent, conflicting* or *unrelated* to the organisation
5. Response – regulate organisation's response for the issues i.e. whether the organisation would like to be *accommodative, negotiate, defend,* or *be non-responsive*. An appropriate response will ensure effective utilisation of resources.

Insert Figure 2 about here

Limitations and future research

It is essential to point out that this research obtained insights only from Council ABC staff. The external stakeholders were not invited to participate in any workshop. When determining any *issue salience* we believe it is important to also engage with external stakeholders with the aim of determining relevance of issues for each stakeholder. We also note that each issue may have a different significance for the organisation; hence, it will be critical to undertake a quantitative risk

analysis approach to understand *issue salience*. Therefore, we note that these limitations could become areas of focus for future research to further enrich this blueprint.

CONCLUSION

Local government plays a key role to enable local decision-making and an important aspect of local government management is 'value for money' which implies greater expectations and increased accountability from various stakeholders. However, the stakeholders for local government are diverse stakeholder diversity implies that a "one size fits all" approach would not work. Any responses need to be tailored to ensure stakeholders and issues that matter to them are accounted. Using an engaged scholarship approach, the research for Council ABC provided us with a basis to propose a blueprint for stakeholder engagement. It focused on *stakeholder salience* and *issue salience* to allow more vigorous engagement with stakeholders in order to maximise outputs with minimal disruption.

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Figure 1: Outline of research stages

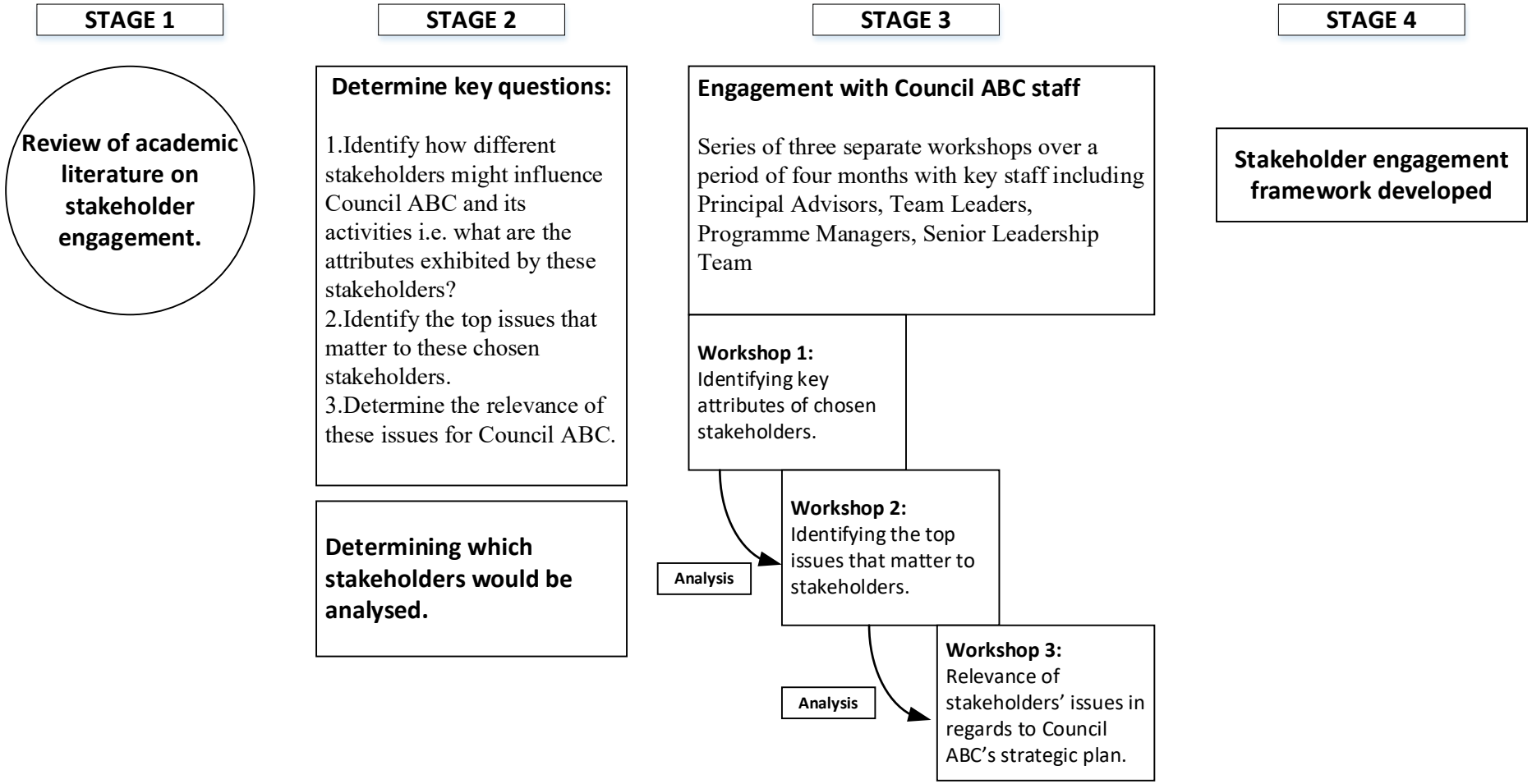
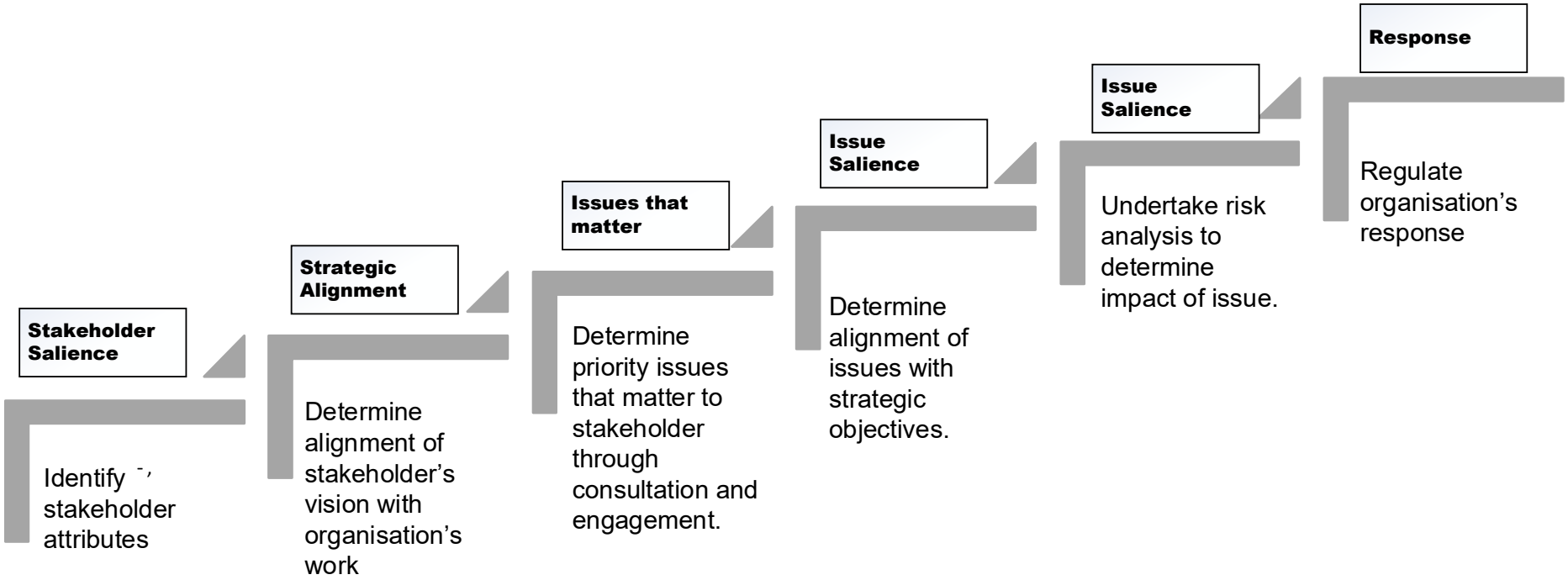


Figure 2: Blueprint for stakeholder engagement



Stream 1: Wicked Solutions to Wicked Problems: The Challenges Facing Management Research and Practice

A Wicked Problem: Strata Property Stakeholder Conflicts

A North Queensland Case Study

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Stream 1: Strata Property Stakeholder Conflict: A Queensland Case Study

Delivered Session

Strata Property Stakeholder Conflict: A Queensland Case Study

ABSTRACT: The Body Corporate and Community Management Act in Queensland empowers the body corporate as key strata stakeholder group notwithstanding widely divergent levels of owner engagement, management capability and interest in scheme affairs. The role of Body Corporate Manager is a subordinated one – with incumbents receiving instruction from part-time committee members commonly domiciled hundreds or thousands of kilometres away.

This Case Study examines the extent to which the Committee-based operating model is flawed – enabling outcomes which were not in the interests of most lot owners. It begs the question as to whether a new statutory role might be appropriate – that of an "Executive Manager" for schemes - to be undertaken by appropriately qualified (and licenced) paid professional managers appointed for a fixed term of three years and subject to re-appointment or replacement by compulsory vote of the body corporate according to displayed managerial competence.

Key words: Strata title, Risk, Committee, Body Corporate Manager

PROPERTY-STAKEHOLDER CONTEXT

Existence of numerous stakeholders with diversified interests in registered strata property schemes creates potential for conflict within and between those stakeholder groups and investor risk for owners of allotments. Potential for disputation is acknowledged in relevant Queensland legislation – where the current Act devotes its lengthiest chapter to dispute resolution. The Rule of Law relating to strata title in Australia developed as an ad hoc solution to a need to regulate tight clusters of independent owners (Christudason, 1996). It was consummated, initially, by passage of the *Transfer of Land (Stratum Estates) Act 1960* (Vic). Strata subdivision can occur both horizontally and vertically with both land and buildings capable of forming a strata title (Guilding, Ardill, Warnken, Cassidy & Everton-Moore, 2006). Strata subdivision means a "subdivision of land and/ or buildings into units, which can be owned independently, and common property, which is owned communally" (Ball, 1984). Participants in registered strata property schemes in Australia – described as condominiums, Multi-Title Developments (Guilding et al., 2006) or Residential Multi-Owned Developments (Johnston, Guilding & Reid, 2010) – comprise a widely diversified group of stakeholders. The concept of "stakeholders" was introduced into the Australian strata property lexicon more than two decades later, with "stakeholderism" defined as "any group or individual who can affect or is affected by the achievement of an organisation's objectives" (Freeman, 1984). By the turn of the century, the term 'stakeholder' had transformed from being used in the context of an appealing description of under-represented corporate constituencies to being applied in the context of management and a well-elaborated method of organisational decision making (Phillips 2003). Stakeholder Theory may provide a worthwhile framework within which to consider relationships between parties in registered strata titled schemes in Australia.

Stakeholder Classifications

Conceptually, stakeholders in MTDs may be categorised in numerous ways according to the respective roles they play in a scheme – funding or funded stakeholders – or according to their level of participation – owner or manager or employee stakeholders - or by their operational significance – direct or indirect, active or passive stakeholders. (Cassidy & Guilding, 2010). Primary Stakeholder

and Secondary Shareholder classifications seek to identify participating groups according to their perceived significance for the viability of a scheme – where a Primary Stakeholder is defined as "one without whose continuing participation the corporation cannot survive as a going concern" whilst a Secondary Stakeholder is one "not essential for (the corporation's) survival" (Clarkson, 1995). Subsequent analysis, based on "the degree of influence exerted by the stakeholders" (Cassidy & Guilding, 2010), confirmed the influence of "unit owners, resident managers and tourists" as Primary Stakeholders, whilst Secondary Stakeholders were identified as "real estate agents, body corporate committees, body corporate service providers, competitors, financiers, state government tourist offices, developers and management rights brokers" (Cassidy & Guilding, 2010).

Such classifications incorporate secondary stakeholder groups which may or may not have on-going roles throughout the lifetime of a registered strata scheme – and, to that extent, it introduces a time-line dimension into stakeholder classification which invokes the question as to whether or not a stakeholder was active during both "development" and post-development (or "operating") phases of a scheme. The classification of stakeholders on the basis of their participation during the "operating" phase of a scheme (defined as commencing with the first tenancy occupation) would exclude groups which may have played a prominent role during development but are non-participants in the remaining life of a scheme. An "Australian Strata Title Stakeholder Network" has been postulated (Cassidy & Guilding, 2010) which includes several development-phase stakeholders, some of whom are unlikely to have roles to play during the post-development or operations phase of scheme - including "developers", "(development) financiers", "real estate agents" tasked to sell "off-the-plan" and "management rights brokers" In Australia, scheme designers and their clients (the developer and builder) characteristically have no on-going interest or role to play following sale of all the lots in the scheme (Easthope, Warnken, Sherry, Colacetto, Dredge, Guilding, Johnston, Lamminmaki & Reid, 2014). Australian strata title stakeholder groups active during the operating phase of a scheme's lifetime depicted in Figure 1 differ from earlier stakeholder theory to the extent that they do not exhibit "hub-and-spokes" relationship patterns (Freeman, 1984) or a "focal organisation" at the centre of a network of stakeholders "that are simultaneously involved in their own networks and interlinked

to other stakeholders that have an interest and can affect the complex" (Cassidy & Guilding, 2010). It likewise eschews prospects for stakeholders to affect/ be affected by focal institution (Phillips, 2003).

Figure 1 exhibits prospects for interactions to take place between stakeholder groups without involvement by the body corporate or by the body corporate committee – including relationships between Letting Managers, owners of lots in the letting pool and their tenants ("tourists"). This example is rendered even more complex by idiosyncratic relationships between Resident Managers and the Letting Agents - who may be the same person(s) or the same corporate entity. Such interactions may be extra-judicial, but they do take place – sometimes formally such as the cited in the example involving Letting Agents, owners of allotments in the letting pool and "tourists" – and sometimes informally – in chairperson-to-chairperson and/ or committee-to-committee undertakings.

Sources of Disputation

Other researchers have observed the idiosyncratic nature of condominium governance, noting that conflicts may occur between a condominium complex's unit owners and its resident manager, noting also that in Australian legislation pertaining to condominium management there appears to be limited acknowledgement of the potential for conflict between resident and investor owners (Guilding, Warnken, Ardill. & Fredline, 2005). Numerous other potential sources of conflict and disputation exist - both within and between stakeholder groups - common examples of which are: limited knowledge of legislation and regulation, ignorance of jurisdictional boundaries, limited awareness that the legislation empowers the body corporate (not the committee nor individual lot owners). Those powers, with restrictions, may be delegated to the either the committee or body corporate manager, a propensity for committee chairpersons to act unilaterally, committees undertaking actions without consultation with owners body corporate managers acting for committee members rather than in the interests of all lot owners (BCMs, for example, tend to be reluctant to advise when statutory limits on committee expenditures are breached), absence of financial management – in particular, the monitoring of expenditure and adherence to Budgets approved in meetings of the body corporate, poor and/ or partial performance of contracted caretaking obligations, existence of "exclusive-use" areas on title, by-law infringements, and failure to enforce by-laws.

Multi-title dimensions associated with strata title developments are seen to add a tier of complexity to urban planning and management, creating potential for stakeholder conflicts which render these issues harder to address (Easthope et al, 2014). However, prospects for stakeholder conflict are not confined solely to planning phases of scheme developments, with disputes arising from management and jurisdictional issues commonly occurring during the post-development phase – including because the legal structure of MTDs includes the management of common spaces (common property), and the behaviour of residents (Easthope et al, 2014).

Elected committees may be a further contributing factor to disputation to the extent that they function as "a fourth tier of government" but, unlike the top three tiers of government, elected body corporate representatives are "usually untrained and unpaid volunteers" (Easthope et al, 2014). Whilst the activities of MTDs are subject to statutory regulation, the environment within which the MTD sector functions is subject to such rapid contextual change as to render it difficult for legislators and the legislation to keep pace (Easthope and Randolph, 2009).

The Rule of Law for Strata Title

On 30 April 1997, when introducing into the Queensland Parliament "a Bill for an Act providing for the establishment and administration of community titles schemes and for other purposes", the sponsoring Minister, Mr H.W.T. Hobbs, Minister for Natural Resources, described the Bill as representing "genuine reform" (Hobbs, April 1997) involving "balancing the rights of individuals with the responsibility for self-management" to ensure "bodies corporate have control of the common property and real assets that they are responsible for managing on behalf of owners" (Hobbs, May 1997) That Bill became the *Body Corporate and Community Management Act 1997* (Qld). Minister Hobbs informed the House that the Bill "introduces various changes that make it quite different from the original Act" including "extra checks and balances" which, he believed, would satisfy "a lot of the problems" raised by Opposition members (Body Corporate and Community Management Act, 1987 (Qld): Code of Conduct, Schedule 1A). One of those "checks and balances" involved the introduction of a Code of Conduct – or, more accurately, a suite of Codes of Conduct –

to govern the behaviour of key stakeholders (Hansard, Parliament of Queensland 307 April 1997). Another of the Minister's "checks and balances" provisions related to a "much-improved dispute resolution process" (Hansard, Parliament of Queensland May 1997) involving "a new administrative structure employing a case-management approach to the various kinds of disputes which arise within community titles schemes" (28). This "much-improved" dispute resolution process would enable parties to a dispute to have the circumstances of cases reviewed by a departmental adjudicator appointed by the Office of the Commissioner for Body Corporate and Community Management with powers to issue orders.

At a forum in Cairns on 9 May 2019 a participant described an Adjudicator's Order issued by the Office of the Commissioner as "not worth the paper it was written on." In response, Mr Chris Irons, Commissioner for BCCM, confirmed that Adjudicator's Orders are enforceable, evidencing a case brought before a Magistrate in Southport, Queensland in response to failure on the part of a respondent to comply with an Adjudicator's Order. In that case the Magistrate found in favour of the applicant and imposed significant fines on the persons deemed responsible for failing to respond to the Adjudicator's Order – namely, the body corporate committee secretary and the body corporate management company's nominated strata manager (Building Units and Group Titles Act 1980 (BUGTA); Integrated Resort Development Act 1987). Parallels exist between the Southport case and another involving a "layered" strata scheme in Queensland.

Case Study: A Queensland "Layered" Strata Property Scheme

Layered strata schemes create binding statutory obligations for body corporate committee members at multiple levels and in Queensland are governed by two separate 1999 Acts of Parliament (32). This Case Study examines circumstances at a Queensland Resort which was created following application by the Trustee for a Scheme under governance of the *Integrated Resort Development Act 1987* (Qld). The scheme comprised three "layers" of bodies corporate: a Primary Thoroughfare Body Corporate (PTBC), a Principal Body Corporate (PBC), and Residential Bodies Corporate (RBCs) with the PTBC and PBC being governed by the Integrated Resort Development Act 1987 (IRDA) whilst RBCs are governed by the Building Units and Group Titles Act 1980 (BUGTA). Property within the

RBC precincts comprises (i) privately-owned villas and carports, (ii) jointly-owned "common property" of lot owners and (iii) "secondary thoroughfare" property owned by the PBC. An indicative break-down of the ownership of property within each residential body corporate precinct has common property and secondary thoroughfare property comprising 55% and 45%, respectively (33).

Statutory obligations of the PBC - under IRDA as the governing legislation for both the PTBC and the PBC - extend, inter alia, to all secondary thoroughfare property adjacent to the common property at all of the RBC precincts at the Queensland Resort. IRDA Part 8, Division 3, under s 151 "Duties of principal body corporate: " stipulate (1) The principal body corporate shall –

(a) control, manage and administer the secondary thoroughfare for the benefit of its members,

(i) properly maintain and keep in a state of good and serviceable repair – the secondary thoroughfare, including any improvements thereon, and

(ii) any personal property vested in it …"

Matching statutory obligations and duties regarding common property owned by the RBCs are stipulated in BUGTA Part 4, Division 1 s 37, "A body corporate shall (a) control, manage and administer the common property for the benefit of the proprietors".

As a consequence, the Act empowers the body corporate as the principal stakeholder group, notwithstanding widely divergent levels of owner engagement, management capability and interest in scheme affairs. The formal role of the paid professional manager - the Body Corporate Managers - is a subordinated one, with incumbents receiving instruction from part-time committee members commonly domiciled hundreds or thousands of kilometres away.

Sources of Disputation at the Queensland Resort: Deed of Arrangement

Prior to 1999 a major source of disputation between residential allotment owners and representatives of the owner of the Resort concerned contractual arrangements for the maintenance of gardens surrounding the hotel and within the residential precincts. In 1999 a Deed of Arrangement (DoA) was executed between the parties in dispute, the terms of which captured an "in principle" agreement "that a new contractor would – maintain the common property of the Residential Bodies Corporate, and maintain the secondary thoroughfare of the Principal Body Corporate". It contravened

Rule of Law obligations of both Acts of the Queensland Parliament stipulated above, and transferred hundreds of thousands of expense items from PBC accounts to the RBCs (34). By contravening Rule of Law obligations under the two relevant Acts of the Queensland Parliament, the DoA delivered long-lasting and negative financial consequences for owners of residential allotments at the Resort by seeking to transfer responsibility for all expenses associated with maintenance of secondary thoroughfare property owned by the PBC at the Resort to owners of RBC allotments beginning in 1999 and continuing ad infinitum – i.e., open-endedly. Documentation prepared by the committee for one of the Queensland Resort's RBCs, for example, at its April 2019 Annual General Meeting approved line-item expenditure in the order of $160,000 which had passed through the Administrative Fund in 2018 for "gardens and grounds maintenance". Under existing contractual arrangements these outlays were extra-judicial - funding maintenance of gardens and grounds in both RBC precinct common property and PBC-owned secondary thoroughfare property. Proportionate ownership of property within the total RBC precinct, approximately 45% of the $160,000 expended total garden maintenance – or around $70,000 – is/ was the statutory responsibility of the PBC on account of its ownership of secondary thoroughfare property within the RBC precinct. Thus, instead of the $160,000 which passed through the RBC's Administrative Fund in 2018, only 55% of that sum (or around $89,000) was the statutory responsibility of RBC lot owners under BUGTA. Acceptance by the PBC of its obligations under IRDA to fund the maintenance of all secondary thoroughfare property it owns within the RBC precinct would deliver total savings of more than $70,000 pa or around $2,500pa for each of the RBC's residential allotment owners - or around $325,000 across all RBCs (35).

Lodgement of an Application for Adjudication

The owner of a residential allotment in one of the RBC precincts at the Resort lodged an Application for Adjudication to the Office of the Commissioner for BCCM citing failure on the part of body corporate committee members to acknowledge Rule of Law obligations regarding upkeep and maintenance of the PBC-owned secondary thoroughfare property at the Resort. The Application, lodged in October 2018, sought *inter alia* the following orders:

"1. *Instruct the ,,, body corporate committee, as representatives of the … body corporate, to ensure all expenditures from Administrative and Sinking Funds are restricted to the purpose of maintaining the common property…,* and

"*2. Instruct the … body corporate committee, as representatives of the … body corporate, to ensure that the body corporate manager ceases to make payments from the … Administrative and Sinking Funds, other than for the maintenance of … common property..".*

Referee's Order Issued: Reasons for Decision

In February 2019 an adjudicator appointed by the BCCM Commissioner's Office issued an order that the respondent "must cease disbursing monies from its administrative and sinking funds for the maintenance of the principal body corporate's secondary thoroughfare except indirectly as part of its contributions to the principal body corporate". In his "Reasons for Decision" the Referee observed "It is not disputed that the respondent (the body corporate) is directly engaging contractors to maintain the secondary thoroughfare" and that clause 4.17.2 of the proposed gardener's contract explicitly stated: "that the gardener must perform its duties 'in regard to areas which may be the Common Property of either the Body corporate the party to this Agreement or the Principal Body Corporate". The Referee further noted that the "The respondent is not entitled to continue raising contributions from proprietors or spending them for the purpose of maintaining the secondary thoroughfare, as that is not one of the statutory duties of the body corporate". "Such action is ultra vires the body corporate, irrespective of any agreements it purported to enter into some 20 years ago. In essence, the Deed of Arrangement was deemed to be devoid of any jurisdictional force and could not take precedence over legislation enacted by the Queensland Parliament. In reaching his conclusions, the Referee referred to precedents – including in a case which went before the High Court – where the judge confirmed the "body corporate's powers are limited by its statutory purposes under the Act" and that those purposes are "confined chiefly to management and control of the common property". Referencing another application**,** the Referee noted that "the body corporate had no power to spend proprietors' funds on the maintenance or improvement of the PBCs primary or secondary thoroughfare" and that "The PBC is, of course obliged to maintain the secondary thoroughfare".

The Respondent's Response; Adopt a "Do Nothing" Strategy

The respondent in the Queensland case elected to ignore the Referee's Order. Subsequent to the Date of Effect of the Order (19 February 2019) payments were made involving outlays of more than $35,000 in spite of the order to cease - each of which was sufficient to commence Magistrate's Court proceedings to enforce compliance with the Referee's Order. This kind of "do nothing" policy – and reliance upon it as a strategic objective – derives from two contributing factors: (i) knowledge of process in the Office of the Commissioner for BCCM – whereby files on matters are closed once a final order is made and no appeal is lodged, and (ii) assumptions on the part of respondents that orders are unlikely to be enforced. Respondents effectively "roll the dice" by adopting a "do nothing" strategy on the basis of an expectation that the applicant will take no further action and knowledge that the Office of the Commissioner for BCCM has no further role to play following issuance of final orders. The expectation is that the orders will simply lapse because responsibility for enforcement of Adjudicator's Orders rests with the applicant.

Implications for Management

As noted above, some of the numerous stakeholders in registered strata property schemes will represent significant sources of risk to allotment owners, including financial risk. Provisions introduced into the BCCM Act in 1997 have generally had little impact on the conduct they sought to ameliorate. The Queensland Case Study tracked a two-decades-long set of extra-judicial circumstances exposing the extent to which "checks and balances" in Queensland strata property legislation are rendered ineffective due to the existence of problematic attitudes toward the Rule of Law on the part executive committee members at the Resort. It that case, a core-group of chairpersons executed a document encapsulating an intention for it to take precedence over legislation enacted by the Queensland Parliament and, over the following decades, reaffirmed, defended and proclaimed the DoA to be lawful right up to and beyond the Referee's issuance of an Order proclaiming that it wasn't. The journey ended with the same core-group of chairpersons executing a $1 contract for gardening services costing villa owners in the order of $350,000 per annum. It was a journey beginning with body corporate committee members exhibiting an ignorance of the Rule of

Law and ended with them displaying contempt for it and for interests of residential lot owners whom they were elected to represent – by the extra-judicial transfer of costs amounting to hundreds of thousands of dollars per annum for maintenance of secondary thoroughfare property owned the PBC to the RBCs. The Case Study exemplified the extent to which elected body corporate committee members may regard relevant legislation and regulation more as an impediment to achieving their self-interests rather than as a statutory framework within which they are statutorily obliged to function in the interest of all body corporate members.

Creation of the Statutory Role of "Executive Manager"

The principal implication to be drawn from the Queensland Case Study is that the self-regulating, committee-based operating model is flawed. However, whereas it may be assumed that a paid professional manager would be less likely to foster or facilitate the pursuit of vested interests by a sub-group of the body corporate (including all or some members of committee, for example), Body Corporate Managers rarely exhibit sufficient independence – or strength of will – to act in the interests of all lot owners. BCMs are more likely to be primarily motivated by a desire to be reappointed. By contrast, the role of "Executive Manager" – stipulated below - would derive authority and independence from an election process involving compulsory participation by all lot owners – i.e., by all members of the body corporate not a minority motivated by self-interest.

CONCLUSIONS AND MANAGEMENT SOLUTION

As noted above, one of the principal sources of risk for owner/ investors is the legislation - which empowers the body corporate notwithstanding widely divergent levels of engagement, management capability and interest in scheme affairs. It subordinates the formal role of the Body Corporate Manager, who receive orders and instructions from part-time committee members commonly domiciled hundreds or thousands of kilometres away. The options following offer solutions to shortcomings in the existing statutory and operating framework:

Option 1

The first option, which may be regarded as a low-level solution, would involve an appraisal of potential risks which potential lot owners might take into account during their due diligence – particularly the risks arising as a result of the underlying self-regulating committee-based operating model for strata property management. Key aspects of such an appraisal might include observations that allotment owners should not assume committee members know, understand or will uphold the Rule of Law as it relates to Queensland strata property schemes. Nor should they assume body corporate members elected to committee positions have an awareness of the statutory obligations attaching to those roles or that committee members will act in their best interests and in the best interests of the total ownership group.

Option 2

A second solution would be to recommend performance by committees one single function following their election - namely, formal implementation of BCCMA s 119, resulting in the assumption of all functions of executive committee members by the elected body corporate manager and removal of body corporate committee members (well-intentioned or otherwise, hard-working or otherwise) from the management and decision-making chain.

Option 3

The third option extends the spirit of intent underlying Option 2 above, proposing (i) rejection of the Committee-based operating model and removal of the many, many pages of legislation and regulation underlying it, and (ii) its replacement by a new statutory role of "Executive Manager" – a licensed "responsible entity" to be elected, and re-elected or replaced, by compulsory voting by all members of the body corporate for, say, a three-year term.

Option 3 invokes aspects of the dictum that "strata represents a fourth level of government in Australia", reflecting the expectation at Federal, State and local government levels of government that elected executive managers are more likely to prosecute matters in the interests of all constituents rather than the vested interests of individuals or groups of individuals. The initiatives proposed below reflect an awareness arising from the Queensland Case Study that interests of individual lot owners

are likely to be better served by replacement of the committee-based operating model with one utilising professional, qualified and appropriately licensed sector managers.

Those initiatives might include (i) simplification of existing legislation and regulation by removing from it all references to appointment of and management by body corporate committees, (ii) removing the entire dysfunctional "layer" of body corporate committee member administrators, (ii) amending conditions for an appointed professional management entity to include election by compulsory vote of all members of the body corporate, (iv) appointment of an "Executive Manager" as responsible entity (may a corporation) following a tender process involving formal submissions from a minimum of two candidates, (v) and fixing a term of appointment for the responsible entity of not less than two years.

Candidates seeking to be elected to the role of Executive Manager of a scheme would be required to demonstrate the following characteristics and attributes: (i) appropriate level of REIQ licencing, (ii) appropriate formal qualifications (minimum Cert IV?), (iii) considerable experience in relevant sector roles, and (v) significant "back-office" support capability – including access to IT and other professional sources of technical advice associated with the role and functions.

Annexure

Figure 1: Contemporary Australian Strata Title Network Relationships

(Note: Figure 1 excludes some entities which, arguably, might have been included but were excluded on the grounds that they are tasked with "acting in the interests of everyone" This includes peak bodies and organisations associated with some nominated stakeholder groups – such as the Unit Owners Association of Queensland (UOAQ) behind Resident Owners & Investor Owners, and the Australian Resident Accommodation Managers Association (ARAMA) behind Resident Managers, and quasi public-sector entities – such as the Office of the Commissioner for Body Corporate and Community Management in Queensland and the Queensland State Tourism Office.

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NOTE: A copy of this ANZAM conference paper with additional notations is available from the author.

Gender, Diversity and Indigeneity
Refereed Delivered Paper

Role of Institution in the Political Empowerment of Women: A Study on Women Development Forum in Bangladesh

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Role of Institution in the Political Empowerment of Women: A Study on Women Development Forum in Bangladesh.

1. Introduction

'Gender equality in politics' has been attracting attention in public policy and gender. This debate seeks to narrow the difference between citizens and the state in which citizens are regarded as 'makers and shapers' as a substitute of mere 'users and choosers' of interventions (Gaventa, 2002). The literature on gender studies emphasizes that the entrance of women in larger numbers in politics can change the political systems and that a critical mass of women in government may impact beneficially on society in general (Campbell and Wolbrecht, 2006). The continued lack of "critical mass" exacerbates the limitations experienced by women to represent themselves in political processes. One may wonder why do women get excluded from the political process? It is due to multiple structural, functional and personal factors in different societal contexts across countries. Moreover, traditionally, political systems were dominated by the dichotomy between public-private domains where women performed domestic roles in the private spheres (Phillips, 1998). Childs and Krook (2008) have argued that it is not due to the incapability of female office bearers, rather it is due to fewer numbers of women as compared to males in almost all elected assemblies. Thus, the argument about the 'critical mass' justifies measures to bring more women into the political office (Grey, 2006).

The theory of representation proposes that all citizens should have the same opportunity to participate in political affairs. So women's entry into political institutions is also an equity issue. Accordingly, healthy political systems require women's active involvement in political activities. Women's under-representation at all levels of governance globally has generated demands for gender equality in politics (IDEA, 2006) that can be considered as an approach of attaining parity as sameness. And gender mainstreaming has been considered as a strategy suitable to achieve gender equality (Verloo, 2005). In more than 100 countries, including Bangladesh and Nepal, quotas for women in political office have been introduced to enhance their representation and participation in policymaking (Grey, 2006; Chattopadhyay and Duflo, 2004; Krook, 2009).

In order to empower women and ensure their presence felt at different governance structures, the role of institutional has gained paramount importance in development and gender studies literature (Rao and Kelleher, 2003). The importance of the institution in this regard has influenced the feminist scholars to raise their voice for either binging changes in the design of the institution or building new institutional structures for accelerating the process of empowerment of women. Of course, a question may be raised from different corners asking the justification of carrying changes in the structure of the institution as well as the development of the new institution in such an environment where women are not bared to participate in the governing process of different political institutions with the males. Of course, there is hardly any concrete argument that could negate the viability of the question. But at the same time, it is also true that patriarchy and supremacy of the males have created hindrances in the process of involvement of women in the decision-making process of political arenas. Considering these realities, different heads of the state who signed the Platform for Action (PFA) in Beijing Conference in 1995 initiated different reforms either to make changes in the design of an institution or establishment of a new institution that would help women to empower them politically.

However, in several countries, institutional changes in the form of gender quotas have failed to make a significant sustainable impact on women's participation in governance (Panday, 2013). Recognising this, the governments, different non-state actors, including international development organizations and local NGOs are trying to empower women through either

strengthening the existing institutions or creating new intuitions for facilitating the process of women's political empowerment Bangladesh. UNDP under its Upazila Governance Project (UZGP) (2010-2015) established Women Development Forum (WDF) that can act as a forum for elected women representatives. Due to socio-cultural dynamics and lack of required knowledge, elected female representatives hardly expect to make their participation felt in the affairs of LGIs. Thus, establishing a platform was necessary to make them skilled, knowledgeable, and capable that would get them together, help them to share their experiences of what they can and cannot do in their respective LGIs and raise their voice if something goes against the rights of women.

Thus, it was intended to enhance and develop elected women's capacity and leadership, which would help them to deal the respective LGIs' affairs in the way to be effective, transparent and most importantly, gender sensitive. In addition, it was expected to build women's capacity at the individual level that would result in greater participation of women in local development work. Under the above circumstance, this paper aims to analyse the role of WDF in enhancing the process of political empowerment of women by exploring two questions: First: To what extent women have comprehended the main activities of WDF and their participation in meetings of WDF. Second, what changes have been occurred at the individual level of women members in terms of knowledge, attitude and practices due to their involvement with WDF?

2. Research Methodology

The study was basically qualitative in nature, backed by available quantitative data in a limited scale. Both primary and secondary data were used. Primary data were collected from different WDFs through conducting in-depth interviews; key informant interviews (KII) and focused group discussions (FGDs).[1] Secondary data were collected by reviewing different materials. Data were collected from 20 Upazilas of 10 intervention districts of Upazila Governance Project (UZGP) of UNDP where WDF was first established. The argument for choosing these Upazilas was that these WDF had a better experience than non-intervention areas as the later WDFs came into being in operation three years later that intervention WDFs. From each district, one Upazila was selected with an exception in Dhaka and Chittagong where 02 Upazilas were selected from each district. When it concerns the selection of WDFs, 02 district WDFs and 2 Upazila WDFs were selected from Dhaka and Chittagong division, while one district WDF and one Upazila WDF were selected from every eight districts. Thus, 21 WDFs were chosen from the intervention areas of UGZP.

In order to understand the real situation of the role of WDF, perspectives from different categories of respondents were studied. To understand how women feel about the capacities and roles as leaders and members of WDF and activists in the communities, 07 members from each WDF and presidents and secretaries of all WDFs were selected as respondents. It was assumed that these two categories of women represent the nucleus of the leadership of WDF. Thus, the study analysed behaviours and perceptions of these categories of women in the intervention and control areas.

A few other groups of respondents were asked about the role of WDF in enhancing the process of the individual level of empowerment of women representatives and issues connected to it were studied through the eyes of the secretaries of UP and Pourashavas, and Upazila Nirbhahi Officers (UNOs). In addition to these three categories of respondents, 5 Focused Group Discussion (FGD) sessions with women members of WDF and 5 with male people's representatives, bringing together 12-15 participants were held. Moreover, a number of case

[1] For in-depth interviews, an opened structured questionnaire was used while a guide sheet was used for conducting FGDs.

studies were carried out focusing on women's participation in LGIs, gender responsiveness, planning and budgeting of UP, UZP and Pourashava, collective bargaining, creating women's employment, addressing violence against women and other social issues including awareness raising (**See table-1 in annex-1**).

3. Empowerment and Political Empowerment of Women: A Conceptual Discourse

The term "empowerment" has been defined differently depending on the disciplinary traditions, domains and contexts. Despite having differences, power and control over decisions and resources have remained a focal point in most of the definitions as the quality of someone's life is determined by these factors (Narayan-Parker, 2002). Accordingly to Alsop et al (2006) empowerment is the capability of transforming choices into preferred activities and upshots in an environment where people work. The agency which is manifested by someone's or some group's capacity to make choices has been denoted as the capacity while diverse facets of the institutional setting have been stated as an opportunity structure. Different types of asset including psychological, informational, organizational, material, social, financial and human have been synonymously used as the agency. On the other hand, rules, laws, regulatory frameworks, culture, norms and behaviours of the formal and informal institutions of a society have been used to measure opportunity structure (Sonia et al, 2017).

Thus, for ensuring eloquent and genuine participation of people in the decision-making process, empowerment has become one of the most important instruments (McArdle, 1989). Empowerment has embraced both weak and strong forms of participation. When it concerns strong participation, it requires people to take part in different steps starting from need identification to decision making and mobilize resources for development intervention (Onyx and Benton, 1996) and thus it is about making the decision on the process in addition to just achieve the goals (Gergis, 1999). That is why, empowerment and participation in the political process have been used intersected as evocative participation requires people to become empowered in order to make their presence felt in the process of development (Sidorenko, 2007).

Diverse socio-economic, cultural and political contexts influence scholars to define empowerment from different perspectives. The local value system and beliefs also influence the variations in definition. Thus, if an attempt is made to develop a unified meaning of empowerment by combing all these perspectives, we could define it as the process of improving people's participation that may facilitate the growth in productive asset and human capital (Narayan, 2002). Empowerment prepares people to go for negotiation, exert influence on the decision making, exercise control over resources and ensure accountability of various government departments and other institutions (Narayan, 2002). According to Pritchett and Woolcock (2004) empowerment is a procedure of bringing changes in the prevailing power relationships and exercising better control over power.

Among different definitions of empowerment Kabeer's (2001) framework of empowerment has been found as one of the best approaches to analyse the issue of political empowerment of women members and the role of WDF in the process. She discussed empowerment using three main dimensions including access to resources, agency and achievements (Kabeer, 2001). While defining empowerment Kabeer (2001:10) stated that empowerment is "the expansion of people's ability to make strategic life choices in a context where this ability was denied to them". Taking into consideration Kabeer's proposition where empowerment is seen as people's capability to determine choices, an attempt is made in this paper to explore the role of WDF in increasing the level of awareness of women members on the gender and LGIs related functions and influencing changes at the individual level of women members in terms of knowledge,

attitude and practices so that they could participate and influence the decision making process of the LGIs.

4. Role of Institutions in Women Empowerment from a Theoretical Perspective

Scholars have used 'institutionalism', a fundamental concept of the study of politics, for describing the contribution of intuitions in the process of political empowerment of women (Thelen, 1999). The institution is a formal political system that affects women's political participation greatly. It may take the form of electoral rules, ballot structures, district sizes, and the number of political parties (Caul, 1999, Rule and Zimmerman, 1994, Panday, 2013). Conversely, scholars outside women in politics have identified institutional rules, norms, and routines as determining factors that affect politics and governance (March and Olsen, 1995, 1996). While studying institutions Hall and Taylor (1996) has used three approaches that include history, rational choice and sociological approach. On the other hand, Pierson and Skocpol (2002) while defining institutions stressed the importance on the formal or informal procedures, routines and norms that are ingrained in our political, societal and economic organization. But, Thelen and Steinmo (1002) have criticised such approach on the ground that this approach promotes inequality in the power relation in society.

A scholar like Dimaggio and Powell (1991) took their position amid the micro and macro level political interfaces while March an Olsen (1989) suggested the inclusion of the symbol systems, cognitive scripts, and moral templates in the definition of the institution in addition to formal rules, procedures and norms. Despite having differences of opinion, two fundamental points have emerged as common from the definition of institutions given by different scholars (Putnam, 1993). First, institutions have been perceived by most of them as formal rules that affect the outcome of the political system (Knight, 1992). Second, history has also come out as a determinant of institutions as it offers a clear understanding of the extent of institutionalization of rules and standard operating procedures in an organization (Berman, 1983).

Above discussion leads to conclude that the process of political empowerment of women in Bangladesh can be better comprehended through the concept of rule-based institution. It is because; women candidates found themselves in a wonky situation while working with their male counterparts due to the domination patriarchy and male-dominated the social structure. Thus, the trend of the lower level of participation of women has influenced the government of other actors to work for either bringing changes in the existing institution to create scope for women's greater participation through the establishment of a new institution for preparing them to effectively discharge their responsibilities. In the context of the present study, UNDP experimented with such an initiative by establishing WDF in their project areas that was later replicated by the government all over the country. Thus, an attempt has been made to explore the role of WDF as an institution in empowering women politically.

5. Formation, Election and Main Functions of WDF

The formation process of WDF was led by the Ministry of LGRD&C. The WDFs were formed in a phase-based approach from Upazila to District level. LGD issued an order of the government to local administrative authorities to facilitate the formation process of WDF. Director of Local Government (DLG) / Deputy Director of Local Government (DDLG) led the formation process through the formulation guideline and providing financial and logistic support, whereas the project provided technical backstopping/background by preparing a concept note on WDF. The field level staff of both projects[2] (UPGP and UZGP) provided

[2] During the same time, UNDP implemented two projects for two local tiers of rural-local government bodies in Bangladesh. Those projects were Union Parishad Governance Project (UPGP) for the Union Parishad which is

administrative support to the local administration in conducting workshops on WDF formation and preparation of event reports.

Under the project guidance, WDF's members are facilitated to elect their leaders for respective WDF through an electoral process. According to WDF's formation guidelines, there are four leadership positions in each WDF at Upazila, which include chairs, vice-chairs, secretary and treasurer. But, the number of executive members of WDF varies depending on the composition of an Upazila. The number of WDF's executive members will be 3 to 5 if upazila consists 07 or less than 07 UPs whereas this number will be a maximum of 7 if an Upazila has 08 UPs or above in its territory (**Table-2**).

Table-2
Formation of the WDF

Designation	No. of Post	Election Process
Chair	1	UPZ's chairman or vice-chairman by virtue of position
Vice-Chair	1	To be elected by WDF's members i.e. UP, UZP, Pourshavas (Municipality)
Secretary	1	
Treasurer	1	
Executive Member	3/5/7	Women representatives

The main activities and functions of the WDF are to create an enabling environment so that women's leadership could be enhanced that could make their life meaningful. The main activities of the WDF have been grouped into four categories: (i) enhance women's participation in development work; (ii) enhance women's capacity and leadership; (iii) end violence against women in the locality; and (iv) create women's self-dependence and prestige.

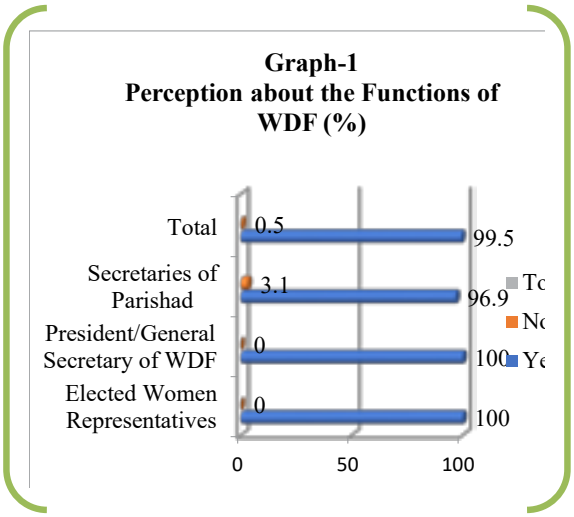
6. WDF and Political Empowerment of Women: Transformation of Power in the Context of Bangladesh

This section has analyzed the transformation of changes that occurred in the lives of members of WDF as a result of different activities of WDF. The transformation of change has been analyzed through five indicators, including (i) level of awareness of the members of WDF, (ii) participation in the meeting of WDF, (iii) knowledge and capacity, (iv) participation in different activities of LGIs and (v) 'will' that is considered as a rung in the empowerment ladder. It is assumed that the first step would be to have a clear understanding of the main objectives of WDF. Once, they would have a better understanding of the objectives of WDF, there would be increased participation in meetings of WDF. When there would be increased participation in different meetings of WDF, their knowledge and capacity would be increased. Once their knowledge and capacity would be increased they would be able to participate in the activities of LGIs actively. Once they would be able to participate actively, their 'will power' would be strong. With the strong 'will power' they would be able to influence the decision-making process and raise their voice against any sort of discrimination. Finally, the level of satisfaction of the WDF members has also been analyzed in this paper.

6.1. Awareness of Women Members about WDF:

the lowest tier of the existing rural-local government structure while Upazila Governance Project (UZGP) for the Upazila Parishad which is the second tier of the existing rural-local government system in the country.

The success of an organization depends to a large extent on how the main goals and objectives are perceived by all actors involved in the process of running the organization. From this perspective, one of the major objectives of this research was to explore the level of understanding of different actors involved with WDF about the main objectives of the WDF and the types of activities they were mandated to play and what they had actually performed. It is important to mention here that the four objectivities of WDF were to form a forum for elected female representatives, networking and monitoring, strengthen inter LGIs linkage between UP and UZP and pursue advocacy on women's issues with LGI and respective Parishad. Overall, the main aim of establishing the forums was to heighten the ability of the elected women representatives in UPs, UZPs and Municipalities with the expectation that they would be able to capitalize their learnings, knowledge and experiences in order to play a catalyst role in figuring out the solution of their problems.

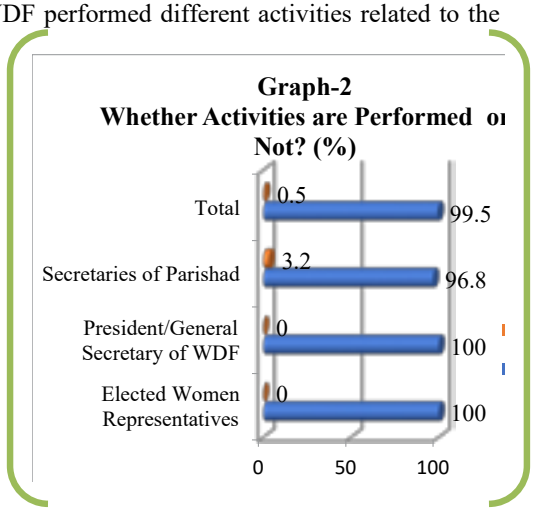


The findings suggested that WDF as an institution was perceived well by the respondents of three categories (WDF members, presidents & secretaries of WDF and secretaries of Parishads and UNOs) in both the intervention and control areas. The findings suggested that 100% of the respondents expressed their positive views while expressing their views about the main activities that were performed by the WDF. One encouraging finding is that more than 90% of the respondents from three categories from both the intervention and control areas expressed almost the same views in this regard (**Graph-1**)[3].

However, when the respondents were asked to name the main activities that WDFs were required to perform, they mentioned a number of activities, including taking steps for fighting all forms of discrimination against women (violence against women, dowry, resisting early marriage, and sexual and mental harassment), building awareness among women as well as men about women related issues, raising of their voices for preserving the rights of women, carrying out income generating activities (i.e. distributing sewing machines, supporting handicrafts, providing training to the traditional birth attendant), taking steps for reducing drop-outs of the female students from the schools by providing them with the necessary equipment (school bag, umbrella, tiffin box, geometry box) and encouraging poor students by providing scholarship, making female students aware about different health related issues as well as development of sanitation system at the educational institutions for girls, taking steps for making women aware about their health, education and nutrition, and increasing women members' understanding about their rights, duties and responsibilities as UP and UZP functionaries and peoples representatives. This finding indicated that there was a problem of internalization of the main objectives of the WDFs.

[3] N = 214 (Elected Women Representatives = 147, President/ Secretary of WDF = 42 & Secretaries of Parishads = 25)

However, one encouraging finding was that the majority of the respondents confirmed that the above-mentioned activities were carried out by the WDFs as 99.5% expressed their positive views on this. This finding suggested that WDF performed different activities related to the well-being of the women's community. The rest of the respondents (0.5%) who expressed their opinion negatively were found confused while answering this question (**Graph-2**). Another significant finding was that the respondents from the intervention areas had a slight advantage over the control areas which indicated that the project has had some degree of influence on the members of WDF in increasing their capacity to deal with different activities.



6.2. Participation in the Meetings of the WDF

The next issue that was explored in this research was the state of participation of members in the meetings of the WDF as their participation matters a lot in making the WDF effectively discharging their activities. The finding suggested that 99.3.7% of the respondents participated in meetings of the WDF. Those who participated in meetings of WDFs identified the following issues that were being discussed in those meetings:

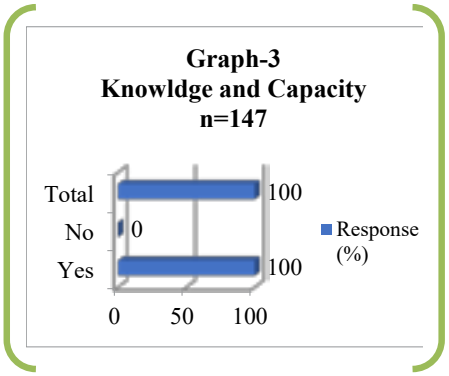
- Issues relating to protecting women from any sort of discrimination and violence (such as torture by family members, eve-teasing, dowry, early marriage etc.), taking collective actions against any kind of activity and increasing awareness of people about the negative impact of these types of social swearword.
- Issues relating to the education of female students, including reducing their dropout rates.
- Issues relating to child labour.
- Issues relating to creating employment opportunities for women and provide training to encourage income-generating activities.
- Issues relating to social safety net services.
- Issues relating to power, functions, legal rights, duties & responsibilities of elected women representatives in the Parishads.
- Issues relating to ensuring the quality of life and security of women within and outside the family.
- Issues relating to the preservation of the rights of women at all levels of society.
- Issues relating to finding ways of making women self-reliant and educated.

Now a pertinent question is: what they had learnt having participated in different meetings of WDFs? Having discussed the issue with the respondents, a number of issues were identified by the WDF members. ***First***, their knowledge about the role of women in society as well as WDF had increased. ***Second***, the respondents were found informed about their role as a member of WDF as well as a member of the UP/UZP or Paurashava. ***Third***, their knowledge about different sources from where they could get access to the necessary information and

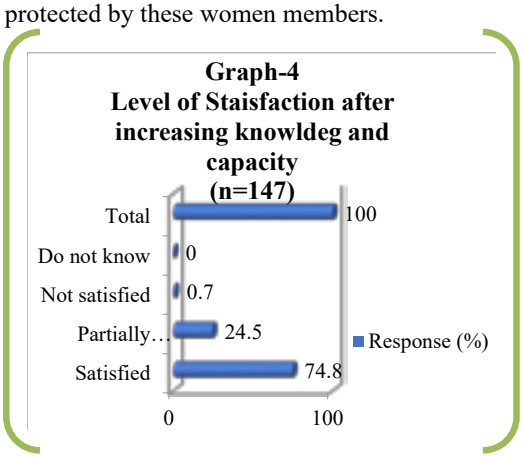
services had increased. ***Fourth***, they understood the fact that people have the right to go to any offices, whether public or private and ask their queries. ***Firth***, they were educated about what they would require to perform to secure the rights of women. ***Sixth***, their knowledge about the importance of their active participation in different activities of the UP/UZP and Pourashava including *ward shava*, open budget meeting, project formulation and implementation had increased. And ***seventh***, their knowledge about different types of allocations that were being provided by the central government to UPZ/UP/Pourashava level for various development activities and the ration that was required to be implemented by women members had increased.

6.3. Knowledge and Capacity

Another encouraging finding of the study was that the level of knowledge and capacity of women members increased as 100% expressed their positive views in this regard (**Graph-3**). The finding showed that the result in the intervention areas was slightly better as compared to the control areas. Now a pertinent question is: what were the areas on which the respondents' knowledge and capacity had increased. T**able 3 (in annex-2)** suggested that the level of knowledge and capacity of women representatives had increased on a number of issues. These are (i) women-friendly (gender responsiveness) activities of the local government bodies, (ii) the formulation of women-friendly projects (iii) the acceptance and implementation of women-friendly projects, (iv) different types of violence against women and their prevention mechanisms and (v) social injustice. One of the significant findings was that the majority of the respondents expressed their agreement on these points. The finding of this study clearly indicated that the establishment of WDFs certainly increased the level of knowledge and capacity of the women representatives who were the members of the WDF. This might have a positive impact not only on their performance as a people's representatives but also of the common people whose interest would be protected by these women members.



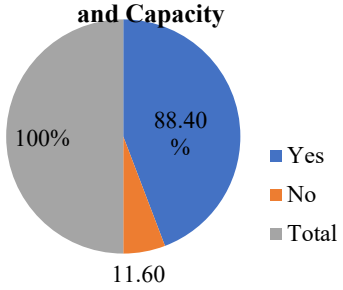
Increased knowledge and capacity of the peoples' representatives made them "**satisfied**" while discharging their responsibility. The respondents' level of satisfaction was measured through four categories, including "satisfied", "partially satisfied", "not satisfied" and "do not know". The findings suggested that 74.8% WDF members were found fully "**satisfied**" with the increasing level of knowledge and capacity while 24.5% of the WDF members were found to be "**partially satisfied**" (**Graph-4**). The ration for the other categories that included "not satisfied" and "do not know" was insignificant as they scored 0.7%% and 0.0% respectively. This was really a positive finding in the context of the present study. Since the majority of the



WDF members were found satisfied with their increasing knowledge and capacity, it was expected that they would apply this knowledge while discharging their duties and responsibilities of the Parishads.

Interestingly, 88.40% of the WDF members applied their knowledge and capacity while discharging their responsibilities of Parishad members while only 11.60% expressed their views negatively (**Graph-5**). There were instances that the women representatives having been a member of the WDF devoted themselves to the betterment of the community people. The story described in the **box-1** was a classic example that illustrated how women representative played an important role in the process of project selection and implementation using their increased knowledge and capacity.

Graph-5
Application of Knowledge and Capacity



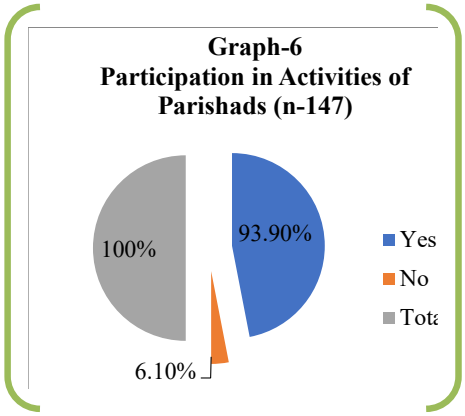
Although the case illustrated in the **box-1** substantiated that, women representatives used their knowledge and capacity for the well-being of the community, there was a group of respondents (11.60%) who expressed negatively when they were asked why they didn't use their increasing knowledge and capacity for making something happen. The respondents identified a number of reasons that resisted them in using their knowledge. These were: **first**, in a male-dominated social structure, it was very difficult for them to run an administration. From this perspective, members of WDF failed to receive wholehearted support from the male representatives. Sometimes, the males tried to resist different activities of the WDF. **Second,** problems occurred in the process of functioning of the WDF due to the domination of muscle power of local politicians and the reluctance of the UZP chair and the UNO. **Third,** since women members were the minority in the decision-making process of the UPs/UZPs or Pourashavas, they found very limited scope to play an active role in the process of carrying out different activities of these bodies. **Fourth**, the neglecting attitude of the functionaries of the UPs/UZPs/and Pourashvas sometime deterred them to remain inactive. **Fifth**, religious impediments, bad comments of local people, lack of financial support, social superstition and stigma, and family pressure sometimes dissuaded women members to utilize increased knowledge and capacity.

Box-1

Jasmin (20), an inhabitant of Losmonpur of Sherpur district, got married to Rakibul Haque (24), of the same village. After her marriage, she came to know that her husband was a drug addict. Rakibul, after taking drugs, tortured Jesmin and sometimes, threw her outside the home. One day, Jesmin discovered that her husband had fallen into an extramarital relationship with their neighbour, Nadira. Whenever she asked her husband about Nadira, he used to beat her. After a few years, her husband divorced her. Later on, Jasmin and her father sought assistance from WDF. Having known the matter, Mst. Hasna Hena Khanam, the Secretary of WDF of Sharepur District, took up the matter very seriously. She along with local elites and UP chairman solved Jesmin's problem. After the involvement of WDF, they settled their problem. They are now leading a happy life (Interview Data, 2016).

6.4. Participation in the Activities of LGIs

It was observed that the involvement of women members in different activities of Parishads increased quite significantly due to their involvement with WDF. Available data suggested that 83.9% of the respondents expressed their positive views on this question while only 6.10% expressed their negative views in this regard (**Graph-6**). Women members who expressed their positive view about increased participation in the activities of different LG bodies were found successful in influencing the decision-making process on many occasions. In most cases, being members of WDF, a network had been built among them that inspired them to collectively fight for any sort of discrimination in the community. The following case is a classic example of such an incident.



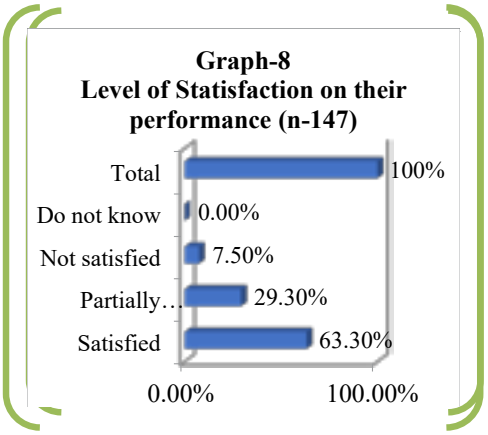
Kakoli Akter: A Classic Example of Bargaining Power

Kakoli Akter, an Executive Member of Comilla District Women Development Forum & an elected Member of Reserved Seat of Durgapur Union Parishad, Comilla Sadar Upazila, Comilla, managed to capitalize the confidence of women's community in her constituency by taking different initiatives aiming at preserving women rights and raising voices against different types of oppression against them. It was only possible due to her involvement with the WDF. Attending different programmes organized by WDFs and getting in touch with other members of the forum, she had learnt many things. For instance, in the last year's open budget meeting when the UP chair asked the participants to provide their opinion on the selection of women-friendly projects, she along with other members of the WDF proposed a project entitled "training on compost making" for women of their union. Later on, the project got selected for implementation. Under the project, 9 women from 9 wards (one from each ward) were given training on how to make compost. While commenting on this, she mentioned that it was a great honour for them as it gave them a feeling that women were making advancement (Fieldwork data, 2016).

Of course, there was a group of women members (6.10%) who failed to increase their involvement in the governing process of different Parishads despite their engagement with WDFs. Now one may ask why did it so? While commenting on their failures, the respondents mostly identified three possible causes. ***First,*** the male-dominated social structure that always discouraged females to play an active role in the public sphere. **Second**, the neglecting attitude of the male members towards female members discouraged them to play an active role at the institutional level. ***Third,*** different political ideologies of women members often deterred them to become active at the institutional levels.

6.5. Will: A Rung in the Empowerment Ladder

Once the involvement of WDF members in the governing process of the Parishad increased, the next question is whether they started to feel differently having been a member of the WDF. The finding of this study suggested that having been involved with the WDFs women perceived themselves as different from ordinary women as 92.50% of the respondents expressed their opinion positively as opposed to only 7.5% of the respondents who replied negatively (**Graph-7**). Such a finding signified the existence of interrelationship between members of an institution at the community level and status in Bangladeshi society. Thus, when women got involved in institutional activities publicly they found themselves in a more advantageous position than others. As a matter of fact, they "felt more confident in expressing their opinions on women and local government-related issues" (97.8%), "they felt proud of being responsible for others" (86%) and "they considered them a positive role model for other women" (73.5%), and "they felt more secure while moving around" (72.8%) (**Table-4 in annex-3**). These factors made them feel different from ordinary women.



Increasing levels of confidence made them feel as social activists and women activists who remained engaged in the process of ensuring the betterment of people in the locality. Among many women, Nasima Sultana, the President of WDF, Shibpur Upazila, Norshindi District, was a classic example of a social activist who became successful in removing different types of social problems. The following example illustrated how she was successful in resisting a child marriage.

Nasima Sultana: A Successful Social Activist

> Nargis Khatun (16) was the daughter of Solayman Ali (40) and Afi Begum (35) of Masimpur village of Shibpur Upazila of Norshindi district. Her marriage ceremony was arranged with Ansar Ali (30) who was a businessman of her village when she was a student of class X in 2015. Nargis was not interested to get married as her main intention was to be a nurse after completion of her education. But, her family members forced her to marry Ansar Ali. When the news of Nasima's marriage became public, Nasima Sultana, the President of WDF of Shibpur Upazila, Norshindi District, went to her house. She first tried to convince Nasima's parents not to marry her as there are several negative impacts of child marriage. But, Nasima's parents were determined to execute their decision. Then, Nasima asked for Chairman's interference in this regard. The chairman, then, called Nargis's parents as well as Nasima and informed them about the negative impact of child marriage and possible punishment if someone violates the provision. Finally, Nargis's parents changed their decision to marry her. Later on, Nargis started schooling again regularly. Now, she is studying at the Higher Secondary Level (Interview Data, 2016).

6.6. Level of Satisfaction

Since people's representatives have more power and status in Bangladeshi society, women felt proud of being responsible for others. They furthermore considered themselves as a positive

role model, expecting that other women would be motivated by their example for the welfare of the community. This positive feeling gave women a feeling of satisfaction with their performance, which was clearly evident through the findings of the study. A vast majority of the respondents expressed that they were either "satisfied" (63.30%) or "partly satisfied" (29.30%). Overall, more than 92.6% of the respondents expressed their satisfaction in one or two forms. The meaning of "satisfaction" varies from person to person (**Graph-8**). Our observation suggested that women were found satisfied since they got an opportunity to build their network with other women at the community level who then could collectively work for safeguarding the rights of poor people. The group of women who identified their level of satisfaction as "partly satisfied' wanted to do more for people that they managed, leading to a feeling of failure. Thus, they perceived that they were "partly satisfied". Another explanation could be that despite having a clear understanding of rights and responsibilities, they failed to materialize those desires, and this gave them the sense of being only partly satisfied. The level of satisfaction that women gained through discharging their responsibilities influenced them to become more active in any sort of discrimination against women. The following example illustrates that women representative started to stand behind women who were falling into danger:

Mst. Salina Akhtar: An Active Citizen

Puja Das (27) was an inhabitant of the Shidla village of Hossainpur Upazila of Kishorgong district. She was married to Palash Das of the same village in 2009. Since she got married, she was tortured by her mother-in-law for wearing Salwar Kameez or watching Television. She had to manage all household works alone. Very often, she was beaten by her mother-in-law. Whenever she tried to say anything to her husband about her mother's behaviour, he stood behind her mother. Instead of standing behind her, he used to beat her whenever she told her about the incidence of torture by his mother. One day, Puja was so brutally beaten by her mother-in-law and her husband that she had to get admitted to the hospital. Having informed about the incidence, Salina Akhtar, who is President of WDF of Hossainpur Upazila, went to the hospital to visit Puja. She expressed her commitment to helping Puja to ensure justice by filing a case against her husband and mother-in-law. Later on, Puja's husband came to her, begged apology and requested her to give him a chance to change his behaviour. Later on, she discussed the issue with Puja and offered him a chance. But, Salina Akhtar warned Puja's husband by saying that she would file a case against them if they further torture Puja. Now, Puja is leading a happy life with her husband (Interview Data, 2016).

7. Discussion and Conclusion

The above discussion captured the process of transformation of changes in the lives of members of WDF as a result of different activities of WDF. It was noticed that WDF contributed a lot in bringing changes in the lives of their members. Thus, it can be said that there strong relationship between the institution and women's political empowerment. But at the same time, it is also true that male domination and patriarchal societal settings have made it difficult for any institution to work for augmenting the process of political empowerment of women. In addition to gender-related disposition, additional burdens have been imposed on them in the form of illiteracy and a lack of opportunities that are dragging them into a cycle of poverty and deprivation (Panday, 2016). It is true that there has been a tremendous improvement in case of women's political empowerment although it requires some more time to reach the desired level. In ensuring the progress of women's political empowerment, we cannot ignore the role of institutions as they have helped women to link their needs and concerns to local issues and

governance by developing women skills and knowledge and capacity. Like other institutions, the WDF has started playing an important role in augmenting the process of women's political empowerment. Most importantly, WDF has played a catalyst role in not only increasing the level of awareness but also encouraging them to strengthen their will power to apply the increased knowledge in the affairs of the LGIs and safeguarding their individual interest.

Most importantly, WDF has provided women representatives with a platform from where they gained a 'feeling of ownership' having come across with fellow representatives. They have become confident with increased knowledge, and access to information that has helped them to participate in different activities of LGIs as well as communities with greater courage. Their increased participation has made them feel different as compared to ordinary women in society. Moreover, they have started viewing different societal issues from gender lens due to their increased mobility in public places. Most importantly, the feeling of satisfaction among the WDF members about their individual and collective performances is a strong determinant of empowerment.

Despite having positive achievements of WDF in augmenting the process of political empowerment of women, WDF as an institution is still suffering from different challenges that are hindering them to effectively play the role of a catalyst of women empowerment. Among these, the prominent challenges are lack of fund to carry out different activities of WDF, patriarch mentality of the male representatives of local government bodies, lack of education and capacity of women members, restriction on mobility of women members, lack of understanding of women members about the main objectives of WDF, security of women members during the night time, political ideology of the WDF leaders, religious impediments, lack of recognition, lack of institutional and logistics supports, inferior complexity of elected women members, and lack of training of the WDF members.

Finally, in lines with the proposition of Kilby (2011), it can be concluded by saying that political empowerment of women has not come out as an abstract notion in the context of the present study where the role of the institution in influencing the process of empowerment has been discussed. Instead, political empowerment is closely related to the livelihood structure of the elected women representatives of different LGIs. Most importantly, there is a close relationship of resources and agency with the process of empowerment which in turn make them capable to determine their choices and influence the decision-making process. In the context of the present study, WDF has played an influential role in developing agency of women members through maximizing the platform that inspired them to become active in the process of development as well as communities in Bangladesh.

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Annex-1
Table-1
Total Number of Respondents

Types of Respondents	Category	Intervention Area
Members of WDF	Reserved Seat Member	121
	General Seat Member	2
	Ex-Reserved Seat Member	23
	Ex-General Seat Member	1
President/General Secretary of WDF	President	21
	General Secretary	21
Secretaries of UP and Pourashavas and UNOs	UNO	13
	UP's Secretary	14
	Paurashava's Secretary	11
Total Number of Respondents		**227**
FGD		05 With WDF member

Annex-2

Table-3[4]
Issues upon which respondents knowledge and capacity had increased

Options	Response (n=147)	
	Yes (%)	No (%)
About women-friendly activities of the local government.	92.5	7.5
About the formulation of women-friendly projects	88.4	11.6
About the acceptance and implementation of women-friendly projects.	87.1	12.9
Types of violence against women and their preventions	100	0
Social injustice	60.5	39.5
Others[5]	7.5	92.5

Source: Field Work Data (2016)

[4] The result was calculated on the basis of the "Yes" response only. Moreover, multiple responses were considered for calculation.
[5] The respondents had specified some issues in the other category. These were: (i) women had become more vocal to raise their voice at any place about any issue; (ii) they had understood that they bore equal importance like their male counterparts, (iii) they could contribute in building women-friendly educated society, and (iv) they had learnt many things about accountability and transparency of the duties & responsibilities of elected women representatives.

Annex-3
Table-4[6]
Why do women consider themselves different?

Options	Response (n=136)	
	Yes (%)	No (%)
You feel more confident in expressing your opinion	97.8	2.2
You feel more hesitant in expressing your opinion	8.1	91.9
You feel proud of being responsible for others	86	14
You feel under pressure for being responsible for other	29.4	70.6
You feel a positive role model for other women	73.5	26.5
You feel others consider as a negative role model	15.4	84.6
You feel more secured while moving around	72.8	27.2

Source: Interview Data (2016)

[6] The result was calculated on the basis of the "Yes" response of the respondents who felt different after their involvement with WDFs. Moreover, multiple responses were considered for calculation.

Interactive Session

The Relationships between Job Stress, Social Support and Burnout among Teachers in China

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Interactive Session

The Relationships between Job Stress, Social Support and Burnout among Teachers in China

ABSTRACT: *Teachers in for-profit education sector is a unique workforce that particularly vulnerable to burnout, yet little is known about how job stress and social support is related to burnout in this population. This study will utilize the job demands-resources model to examine the relationships between job demands (examination performance pressure, role responsibility, workload), job resources (supervisor support, co-worker support, family/friend support), and the three dimensions of burnout in a sample of 500 teachers from Chinese for-profit education sector. The findings will provide further evidence to test and extend job demands-resources model, and better inform policy makers in for-profit education industry on the major stressors contributing to teachers' burnout, and on the effectiveness of sources of social support in reducing burnout.*

Keywords: Burnout, Job Stress, Social Support, Teachers in China, For-profit Education

Job burnout refers to a negative psychological response to chronic work stress, and it is a multidimensional construct which consists of emotional exhaustion, depersonalization and reduced personal accomplishment (Maslach & Jackson, 1986). Teacher burnout has received international research concern because teachers are among those professionals with the highest level of job stress and burnout (Farber, 1991; Hakanen, Bakker, & Schaufeli, 2006; Skaalvik & Skaalvik, 2017; Stoeber & Rennert, 2008). In China, there is a huge teacher group of 16 million populations, and research has shown that these teachers also experience severe burnout problem. Based on a survey conducted by Renmin University, more than 80% of teachers in China reported high occupational stress, and nearly 30% experienced serious burnout (SINA, 2005). Studies have investigated Chinese teacher burnout in various working environments, including primary school, secondary school, college and university, etc.

However, a rising teacher workforce particularly vulnerable to burnout deserves more attention: teachers in Chinese for-profit education sector. In the Chinese context, for-profit education institutions refer to the private, profit-seeking, and non-degree education companies which provide various kinds of education and training services, including after school tutoring, foreign language

training, vocational education, etc. (Fang & Zhong, 2014; Li & Liu, 2018). Statistics shows that in 2016, there were around 19500 such institutions, and 8.47 million students received training at these institutions in China (Ministry of Education of People's Republic of China, 2016). These for-profit education institutions form a unique and challenging work setting for teachers. On one hand, for-profit education sector has been growing rapidly and undergoing fast change. According to Deloitte, China's education market has reached RMB 2.68 trillion in 2018, and is estimated to grow to RMB 5 trillion by 2025, with a CAGR (Compound Annual growth rate) of 10.8% (Deloitte, 2018). Meanwhile, this industry is a relatively new one which has only just received a clear legal definition in China less than two decades ago, meaning that further development in regulation and management is needed (Jing & Zhou, 2018). Working in this market-driven, rapidly growing, and newly established education industry, teachers are constantly facing new challenges that might trigger burnout.

International studies clearly show that job stress, when measured as a single latent variable, is associated with burnout. However, studying job stress as a single variable will limit our understanding on the relative impact of different job stressors on burnout. There is a need to examine the relative association between particular job stressors and burnout dimensions, especially under the context of Chinese education within a for-profit setting. In reviewing Chinese studies, it is shown that three job stressors may be different in form and degree when one considers the cultural context. Firstly, role responsibility, one frequently studied stressor, may be extremely high and sometimes unrealistic for Chinese teachers because of Confucian beliefs, the basis of traditional education philosophy in China (Lau, Yuen, & Chan, 2005; Zhang & Zhu, 2008). Secondly, the emphasis of student's academic performance in the Chinese education system generates a unique stressor for teachers: examination performance pressure (Xu, 2003; Zhang & Zhu, 2007). Finally, these two stressors are closely related to another one: large workloads. As for the for-profit work setting, teachers are further challenged by the market-driven nature of their institutions. Their role responsibility is more varied and even conflicting: they are expected to be an altruistic moral model as well as a self-interested service-

provider (Shao, 2018). They also face examination performance pressure through delivering courses for exam-taking purposes, such as after-school tutoring or IELTS language training, and competition in these areas may be even fiercer. Moreover, their workloads usually come with working extra hours at night and on weekends.

Meanwhile, the literature generally supports that lack of social support is a major cause of teacher burnout (Griva & Joekes, 2003; Ma, 2018; Pisanti, Gagliardi, Razzino, & Bertini, 2003; Pomaki & Anagnostopoulou, 2003; Wang et al., 2012). Recent research shows that sources of social support are significant in the prediction of burnout, with supervisor support, co-worker support, family and friend support being the most frequently studied sources. However, there are only a few studies which include different sources of support, and their results seem to be inconsistent (Leung & Lee, 2006; Song, 2008; Wang & Xu, 2004; Zhang & Zhu, 2007). For example, while Wang and Xu (2004) found that colleague support is statistically reduces teacher burnout, Song (2008) found that co-worker support actually increases burnout. Given the limited number of studies and mixed results, the relative importance of different sources of support on burnout is not fully addressed. Specifically, the interaction patterns between sources of support and burnout dimensions needs further study, particularly among teachers in Chinese for-profit settings.

The purpose of this study is to investigate the relationships between job stress, social support and burnout among teachers who work in the for-profit education sector in China. Toward that end, this study will utilize the job demands-resources model (JD-R model) to (a) examine the relationship between three job stressors (examination performance pressure, role responsibility, workload) and the three dimensions of burnout; (b) examine the relationship between the major sources of social support (supervisor support, co-worker support, family/friend support) and the three dimensions of burnout; (c) examine the moderating effect of social support between job stress and burnout. Expanding knowledge of these relationships could provide further evidence to test the main effect and interacting effect proposed in the JD-R model. Furthermore, the findings could better inform policy-makers in

for-profit education sector on the major stressors contributing to teachers' burnout, and on the effectiveness of sources of social support in reducing burnout. The possibility of more effective intervention could benefit teachers, students, and the for-profit education industry at large.

LITERATURE REVIEW

Job Stress and Burnout

For teachers, job stress refers to the unpleasant, negative emotions experienced as a result of some aspects of their teaching job (Kyriacou, 2001). Teaching has long been considered as a high stress job, and unsuccessful coping with this stress over a long period of time will eventually lead to burnout. In other words, burnout can be seen as a particular kind of prolonged job stress. Previous studies generally support a positive relationship between these two variable, with a shared variance from 33% to 56% (Jia & Lin, 2013; Jiao, 2009; Liu, 2004; Liu, Wang, Jin, & Qin, 2008 ; Wang et al., 2015; Zhang, Yang, & Ling, 2014; Zhong et al., 2009). Job stress is also found to be a significant positive predicator of burnout, especially in primary and secondary teacher groups (Wang, 2015; Xu, 2003; Xu, Zhu, Huang, & Shao, 2005; Zhang & Zhu, 2007).When considering its importance to each of the three dimensions of burnout, job stress seems to relate more closely to emotional exhaustion, followed by depersonalization, and is least associated with personal accomplishment (Li, Ren, Lin, & Shi, 2008; Meng, Chen, Li, & Xiong, 2009; Wang, 2015; Xu, Zhu, & Huang, 2005).

Although these studies clearly found that teacher burnout is associated with stressful working environments, there is a need to research on the relative association between different job stressors and specified dimensions of burnout. Studies of stress as a unidimensional or single latent variable provide limited understanding of the relative impact of particular stressors on burnout (Skaalvik & Skaalvik, 2017). International studies have explored various job stressors in the teaching profession, with the most frequently studied being large workloads, difficult students, role conflict and ambiguity, and dealing with colleagues, etc. (Kyriacou, 2001; Pithers & Soden, 1998). In this research, it is found that teachers in China experienced most of those stressors common with the general teacher group

worldwide (see a full list in table 1). However, some of the stressors seems to be culturally specific and must be understood within a Chinese cultural context.

Insert Table 1 about here

Firstly, the role responsibility for Chinese teachers is different from that of western culture. Traditionally. the role of Chinese teacher is deeply influenced by Confucian beliefs, which holds that teachers are not only knowledge providers, but also role models, authority figures, or even parents to the students (Cortazzi & Jin, 1997; Lau et al., 2005; Zhang & Zhu, 2008). As a saying goes, "a teacher a day, a parent forever", Chinese teachers are expected to take a parent role to some extent and care about students in every aspect of their life. Such a great responsibility and high moral standard may be too much for a teacher to meet, causing extra stress (Luk, Chan, Cheong, & Ko, 2010). Moreover, teachers are expected to be strict to students and teach with severity. There is another famous saying from "The Three Character", "To feed the body, not the mind – fathers, on you the blame! Instruction without severity, the idle teachers' shame" (Pang, 1999, p. 20), which reflects this deep-rooted belief. Some researchers propose that this teaching philosophy will unconsciously distance Chinese teachers from their students in daily interactions, and possibly contribute to a relatively higher depersonalization level in burnout, compared with western teachers (Lau et al., 2005; Luk et al., 2010).

Secondly, examination performance pressure is a particularly significant stressor for teachers in China, and has been frequently studied in teacher burnout literature. Education is highly valued in Chinese society, and it is widely believed that excellent academic performance is solid proof of a successful education. To achieve this goal, teachers are constantly under the expectation to help students get high scores, from primary school to high school, culminating with the increasingly competitive college entrance examination (Zhang & Zhu, 2007). In a questionnaire study, Xu (2003) found that stress due to students' examination performance ranked No.1 out of 8 stressors for primary

and secondary teachers. Students' exam results are used by schools as criteria to evaluate teachers' job performance, and are considered by parents and students as a vital aspect of a teacher's professional ability. Therefore, the pressure of examination performance can transform into a teacher's job stress, which may gradually develop to burnout (Wang et al., 2015). Finally, teachers' workloads are largely influence by these two stressors. To fulfil the expected role and help students improve their examination results, teachers often works for extra hours.

Teachers in the for-profit sector are also challenged by these stressors, while the commercial nature of their work setting further complicates their experience. Those teachers have a more complicated role responsibility compared with public teachers. The role of teachers in for-profit setting is varied and even conflicted: they must meet the requirement of their teaching task as a teacher as well as pursue profit for the company as an employee. The traditional image of an altruistic moral role model is naturally conflicted with the self-interested and market driven service-provider (Shao, 2018). Also, due to the expectation for better exam performance, a rising number of parent are paying for after-school tutoring for their children. Statistics show that in 2017, each student from urban Chinese family took an average of 10.6 hours of after-school tutoring course per week, with the trend still going upward. As of 2017, there are over 100000 K-12-after school tutoring providers in China, many of which are for-profit education companies (Deloitte, 2018). Obviously, teachers in those for-profit tutoring companies will also bear the stress of their students' exam performance. However, competition would be fiercer in the market where students' exam results could largely impact teachers' salary, and even their job security. Moreover, those teachers not only deal with large workloads, but also have to work at night and on weekends, since their courses are usually arranged outside the public school schedule.

Social Support and Burnout

Social support refers to the assistance provided by one's social network (Taylor et al., 2004), and it is viewed as an important job resource to alleviate burnout (Griva & Joekes, 2003; Ma, 2018;

Pisanti et al., 2003; Pomaki & Anagnostopoulou, 2003; Wang et al., 2012). There is ample evidence that this variable is negatively associated with burnout, with shared variance ranging from 17% to 52% (Li, 2012; Lin, Chen, & Zhai, 2009; Ma, 2018; Tan, Deng, & Yang, 2011; Tang & Peng, 2008; Wang, 2015; Wang & Xu, 2008; Wang et al., 2012; Xu, Zhu, Huang, et al., 2005; Xu, Zhu, & Shao, 2005; Zhao, Wang, & Tian, 2014). In a meta-analysis of 59 studies, Wu and Zheng (2012) also found that social support has a moderate negative effect on all three dimensions of burnout, among 21400 primary and secondary teachers.

Recent research shows that sources of social support are significant in the prediction of burnout, with supervisor support, co-worker support, family and friend support being the most frequently studied sources (see a summary of Chinese studies in Table 2). Supervisor support is especially related to burnout, as on average, lack of support from supervisors explains 14% of the variance of emotional exhaustion, 6% of depersonalization, and 2% of personal accomplishment based on 13 studies (Lee & Ashforth, 1996). Four studies on Chinese teachers confirmed that supervisor support is more effective in decreasing burnout than support from other sources (Leung & Lee, 2006; Song, 2008; Wang & Xu, 2004; Zhang & Zhu, 2007). Specifically, in a sample of 765 primary and secondary teachers, Wang and Xu (2004) reported that inadequate support from supervisors explained 7% of the variance of emotional exhaustion, 11% of depersonalization, and 11% of reduced personal accomplishment, and Song (2008) had similar finding in a sample of 400 secondary teachers, with values of 10%, 17%, and 25% respectively.

Research on co-worker support yielded inconsistent results. While some researchers found that colleague support is statistically important for reducing teacher burnout (Wang & Xu, 2004), others found the effect to be minimal (Leung & Lee, 2006; Zhang & Zhu, 2007). Interestingly, Song (2008) found that co-worker support actually increases burnout. There are two possible explanations. Firstly, Bakker and Schaufeli's work proposes that burnout might pass from one teacher to another through communication about work problems, creating social contagion of burnout (Bakker,

Demerouti, & Schaufeli, 2003; Bakker & Schaufeli, 2000; Bakker, Schaufeli, Sixma, Bosveld, & Van Dierendonck, 2000). A number of studies agreed with this finding by stating that co-ruminations, or talking negatively about work problems in a socially supportive interaction would make co-worker support less effective (Boren, 2014; Haggard, Robert, & Rose, 2011; Rose, 2002). Secondly, research has shown that co-worker support may interact with social comparison to cause burnout. When an employee perceives having a lower level of burnout compared to other colleagues, he or she would feel alone with his/her own problem, causing further burnout (Halbesleben & Ronald Buckley, 2006). Therefore, the effect of co-worker support is not straight forward and needs further study.

Support from family and friend is less studied in burnout research. However, some studies do find it to be significant in alleviating burnout. While Wang and Xu (2004) report that family and friend support significantly predicts three dimensions of burnout, Zhang and Zhu (2007) found that it works most effective in mitigating depersonalization.

Insert Table 2 about here

Theoretical Framework

This study will utilize the job demands-resource model (JD-R model) as a theoretical framework. The JD-R model proposes that burnout is the result of two categories of work characteristics. Job demands refer to physical, social or organizational aspects of work that require physical or mental effort, and are therefore associated with psychological costs, while job resources are defined as job characteristics that help to achieve work goals, reduce job demands and the associated psychological costs, or lead to personal growth (Demerouti, Bakker, Nachreiner, & Schaufeli, 2001). According to the JD-R model, the development of burnout follows two processes: job demands lead to exhaustion, and lack of job resources leads to depersonalization, which is termed as disengagement (Bakker & Demerouti, 2007). In this current study, I conceptualize job stress that come from various stressors as job demands, and hypothesize that high levels of job demands would

predict high levels of emotional exhaustion. Social support from different sources is studies as job resource, and low levels of job resources should predict high levels of depersonalization.

Asides from the main effects of job demands and job resources on burnout, Bakker, Demerouti, and Euwema (2005) further posit that several job resources can buffer the impact of job demands on burnout. Four job demands (work overload, emotional demands by students, physical demands, and work-home interference) and four job resources (social support, quality of the relationship with the supervisor, autonomy, and performance feedback) were used to test the buffering hypothesis among a sample of 1012 high education employees. The buffering effect was confirmed for the exhaustion and depersonalization dimensions of burnout, but not for reduced personal accomplishment. In this current study, social support, as an important job resource, is hypothesized to moderate the relationship between burnout and various job demands. The hypothesized research model is presented below:

Insert Figure 1 about here

RESEARCH FOCUS

There are considerable gaps that need to be addressed in the field of teacher burnout. Firstly, there has been very little research on teacher burnout among teaches in Chinese for-profit education sector, which is a growing work group that can be particularly vulnerable to burnout. Secondly, the job stress from specific stressors causing burnout needs to be studied within the context of Chinese culture and the for-profit setting, as existing literature finds that job stressors may vary in form and level within specific context. Thirdly, research is also limited on how social support from different sources impacts the dimensions of teacher burnout. Few studies have investigated the nature of this relationship, and the existing research shows inconsistent results. Finally, there is a need for additional research on the moderating effect of social support, since previous studies have generated mixed results. Due to these gaps in the existing literature, a more thorough examination on the relationships

between job stress, social support and teacher burnout in the for-profit education sector should be conducted.

RESEARCH METHODS

Participants and Procedure

Around 500 teachers from for-profit education companies will be contacted from major cities in China, including Shanghai, Guangzhou, Wuhan, Nanchang, etc. A self-report questionnaire will be sent to the participants online. The participants will be informed of the purpose of the study, and be guaranteed to participate voluntarily and confidentially. The research will follow the requirements of the National Statement on Ethical Conduct in Human Research, and an ethics application will be submitted to the Western Sydney University ethics committees for approval.

Data Collection

The questionnaire survey will employ the following instruments to collect data on participants. Burnout will be measured with an existing instrument, while job stress and social support will be measured with modified ones. A pilot study on 30 participants will be conducted to establish validity of the instruments and improve the questions.

Demographic questionnaire

Participants will be asked to provide their background information, including age, gender, marital status, education level, and years of teaching experience.

Burnout

The Maslach Burnout Inventory-Educators Survey (MBI-ES) will be used to evaluate participants' burnout level (Maslach & Jackson, 1986; Maslach, Schaufeli, & Leiter, 2001). The scale measures three dimensions of burnout, namely emotional exhaustion (EE) (9 items, e.g., 'I feel emotionally drained from my work'), depersonalisation (DP) (5 items, e.g., 'I feel I treat some students as if they were impersonal objects'), and personal accomplishment (PA) (8 items, e.g., I can

easily understand how my students feel about things'). Participants are required to evaluate each item on a 7-point Likert scale, ranging from 0 ("Never") to 6 ("Every day"). High scores on the first two scales and low scores on the last scale indicates high level of burnout. The Chinese version of MBI-ES has been used in several studies among Chinese teacher samples, and findings indicate that the scale had good reliability and validity in Chinese teacher population, with Cronbach alpha values ranging from 0.70 to 0.90 (Chan, 2007; Chan & Hui, 1995; Ho, 2015; Leung & Lee, 2006).

Job stress

To measure job stress, a scale developed by Zhu, Shen, and Liu (2002) will be modified to fit the current study. The scale will measure three job stressors: examination, role responsibility, and workload. Questions included "school use students' examination results to evaluate teachers' performance," "students and teachers have very high expectations for teachers,' etc. participants are requested to answer on 5-point Likert scale (1 = strongly agree, 5 = strongly disagree). The scale has been widely used in Chinese teacher samples and shows good reliability and validity (Liu, 2004; Liu et al., 2008 ; Xu, 2003).

Social support

A measure developed by House and Wells (1978) that focuses on social support from different sources in the context of job stress will be used. This measure will be modified to yield indexes of social support from three sources: supervisors, co-workers, and friends or families. Respondents are asked to rate how helpful each of these persons is in the context of work-related stresses. This measure appears to be quite reliable. Cronbach alpha values ranging from .75 to .92 have been reported for the subscales (House, 1981).

Data Analysis

The descriptive statistics for each of the variables will be presented. The correlations between job stressors, various sources of social support and the three dimensions of burnout will be examined.

Then, a hierarchical linear regression will be conducted with each of the three burnout dimensions as the dependent variables and job stressors, sources of social support, and control measures as the independent variables. Finally, the moderating effect of social support will be tested by moderation analysis.

RESEARCH CONTRIBUTION

To my knowledge, this study is the first to examine the relationships between job stress, social support and burnout among teachers in Chinese for-profit education sector,

Expanding knowledge of the relationships between job stress, social support and burnout provides a framework for the future development of theory in this area. Firstly, the study will provide further evidence to examine JD-R model by testing the main effects of job demand (job stress), and job resources (social support) on burnout dimensions, as well as the arguable interacting effect of job resource (social support) on burnout. Secondly, the study will extend the previous findings to teachers in Chinese for-profit education sector, a sample to which the JD-R model have not yet been applied.

Practically, the findings could provide useful information for developing more effective burnout intervention programs, which could in turn benefit teachers, managers and the for-profit education industry. The results could better inform managers in for-profit education companies about the major stressors contributing to their teachers' burnout, and about the effectiveness of sources of social support in reducing burnout. Human resource managers could use this information to develop tailored intervention programs.

10. Organizational Behaviour

Interactive Session

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Table 1 Job stressors of teacher burnout in China

No.	Author(s)	Sample	Teacher type	Stressors
1	Xu (2003)	367	• Primary and Secondary	• examination performance • workload
2	Liu (2004)	199	• Primary and Secondary	• role responsibility • lack of promotion opportunities
3	Xu, Zhu, and Huang (2005)	766	• Primary and Secondary	• interpersonal relationship • career development
4	Xu, Zhu, and Shao (2005)	766	• Primary and Secondary	• social statue • dealing with parents and students*
5	Liu et al. (2008)	511	• Primary and Secondary	
6	Zhang and Zhu (2007)	133	• Secondary	• teacher stress • workload • role conflict • role ambiguity
7	Li et al. (2008)	728	• Secondary	
8	Jiao (2009)	498	• Primary and Secondary	• Students • Parents • self-development • job expectation • examination performance • workload
9	Meng et al. (2009)	398	• Primary	
10	Liu, Wu, and Xing (2009)	703	• Primary and Secondary	• education reform • students • administration and management
11	Zhang et al. (2014)	1821	• Primary and Secondary	• job characteristic • career development • physical and mental condition • family issue, social issue*
12	Wang (2015)	560	• Primary and Secondary	• examination performance • student • self-development • family and interpersonal relationship • workload • job expectation
13	Wang et al. (2015)	559	• Primary and Secondary	• job demand • job control • social support • extrinsic effort • reward • over commitment

14	Yu, Wang, Zhai, Dai, and Yang (2015)	387	• Secondary

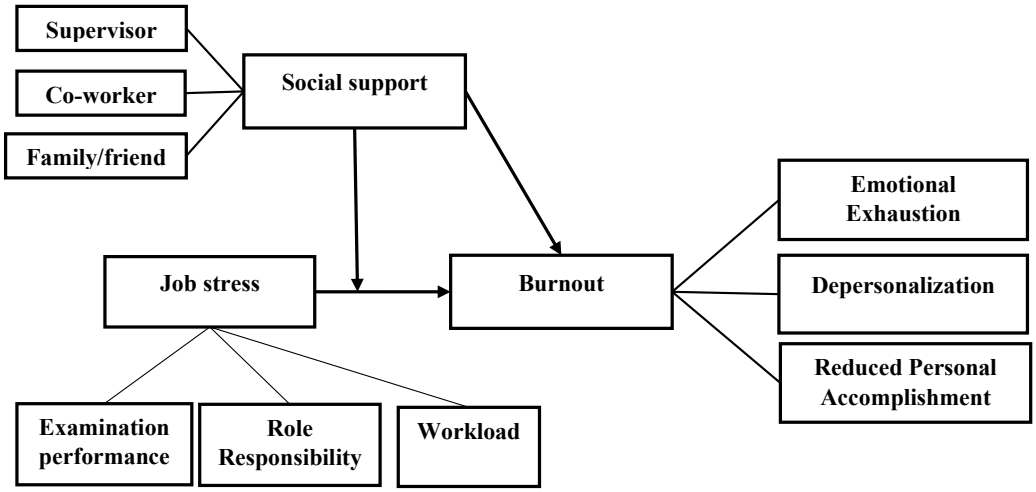
*Studies 1-5 used the same set of stressors; studies 10-11 used the same set of stressors.

Table 2 Sources of social support and teacher burnout

No.	Author(s)	Sample	Teacher type	Sources of social support
1	Wang and Xu (2004)	679	• Primary and secondary	• Supervisor • Co-worker • Family • Student • Parents • Friends
2	Xu, Zhu, and Huang (2005)	766	• Primary and secondary	
3	Leung and Lee (2006)	379	• Primary and secondary	• Supervisor • Co-worker
4	Zhang and Zhu (2007)	133	• Secondary	• Supervisor • Co-worker • Family and friends
5	Liu et al. (2008)	511	• Primary and secondary	
6	Song (2008)	400	• Secondary	• Supervisor and principal • Co-worker • Student • Parent • Family and friends
7	Wang and Xu (2008)	266	• Primary and secondary	• Organizational Support
8	Lin et al. (2009)	482	• Secondary	
9	Cai and Zhu (2013)	171	• Secondary	
10	Zhao et al. (2014)	244	• Secondary	
11	Ju, Lan, Li, Feng, and You (2015)	307	• Secondary	• Supervisor • Co-worker

12	Wang (2015)	560	• Primary and secondary	
13	Ho (2015)	539	• Primary and secondary	• Family • Friends • Colleagues • Principal
14	Ma (2018)	438	• Primary and secondary	

Figure 1 Hypothesized research model



13. Sustainability and Social Issues in Management
Interactive Session

State of abandon: The role of governance in the recurrent and cyclical nature of class conflict in the lives of mining communities in Australia

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State of abandon: The role of governance in the recurrent and cyclical nature of class conflict in the lives of mining communities in Australia

ABSTRACT

Taking the mining industry and associated communities as proxy for industry development as a whole in Australia from the colonial period to the present day, this study examines the socio-cultural and economic reasons behind the observed recurrent nature of class conflict in the industry over this time. Industrial capitalism, birthed in the land enclosures and Industrial Revolution of Great Britain is inherently unstable, being prone to cycles of 'booms and busts'. Since the early advent of unions in Australia, these cycles have seen power ascendency alternately pass between capitalist elites and workers. With society composed of unpredictable and emotional individuals in continually evolving social structures, this work-in-progress-study attempts an explanation for this recurrent and cyclical nature of class conflict.

KEY WORDS

Mining communities; elites; unions; class conflict.

The Australian mining industry today makes a substantial contribution to the economy of the country, totalling 54% of exports in 2016-17, valued at A$198 billion (Minerals Council of Australia, n.d.). Being a significant contributor to the balance of trade from colonial times to the present, the mining industry along with associated communities presents as a useful proxy for understanding the broader sphere of economic, socio-cultural and industrial activity in Australia over this time (Eklund, 2015; Martinez-Fernandez, Wu, Schatz, Taira, & Vargas-Hernandez, 2012). In the nineteenth century, all of Australia's inland cities were mining cities. Wealth flowing from the early gold discoveries across Victoria made Melbourne the largest coastal city in the land for half a century (Blainey, 2003). Today, long after the gold rushes of the Eastern States have passed into memory, emphasis in mining has shifted to the mineral-rich states of Western Australia and Queensland.

There have been many published case histories examining the factors contributing to the economic development trajectory of individual communities servicing the Australian mining industry (Cooper & Ellem, 2008; Ellem, 2003, 2006; Jones, Marshall & Mitchell, 2007; McDonald, Mayes & Pini, 2012; Sadler, 2004). Few researchers, however, have attempted an examination of the continuity and recurrence of such factors, from historical antecedents, through colonial times, and up to the present day. A review of the literature has revealed the following omissions: (1) The lack of investigation into the socio-cultural and economic factors that contribute to *class conflict* in the development trajectory of mining communities in Australia; (2) The lack of investigation into the socio-cultural and economic factors that contribute to class conflict in the development trajectory of mining communities in Australia *over time*, and (3) The lack of investigation into *the cyclic recurring nature* of the socio-cultural and economic factors contributing to class conflict in the development trajectory of mining communities in Australia over time. Accordingly, this paper sets out to explore the reasons behind the recurrent nature of class conflict by an analysis of class relations in the mining industry in Australia from colonial beginnings to the present.

SCOPE OF THE STUDY

Colonial mining

The first discoveries of gold were predominantly alluvial fields, easily worked by small groups or individual miners. After exhaustion of the alluvial gold, the focus of both gold and base metal mining in Australia turned to concentrate on deep lode mining (Lennon, 1989). Shaft sinking and crushing of the mineral-laden rock required capital resources beyond the capability of small groups of miners, necessitating the formation of companies and the employment of wage-earning miners. The longer term nature of deep lode mining saw the ephemeral, tent dwelling, predominantly male communities of the alluvial fields give way to more substantial settlements as firstly bark, and later galvanised iron and timber huts sprang up in an often-sprawling township close to the mine workings (Bell, 1984). With wage miners earning a reliable income, more women were encouraged to join their menfolk, adding a civilising touch to the life of the town.

Despite the regular income and the more settled community life, however, the egalitarian spirit that had been a mark of the alluvial fields did not endure long in the company towns. A typical company structure, with absentee city shareholders and a local mine manager, employing a workforce of wage-earning miners set the scene for a class conflict between capital and labour that has since become a predictable and recurrent theme among mining communities across Australia, persisting to the present day.

Contemporary conflict

In the current economic climate in Australia, there is a widespread disillusionment in the mining workforce, with market-driven neo-liberal policies contributing to inequality, insecure work

and stagnant wages. This deterioration in working conditions, having its genesis in macroeconomic policies instigated by successive Australian Governments since the 1970s (Kelly, 1994; Lloyd, 2002; Woodward, 2005), is just the latest chapter in the ongoing class conflict between capital and labour since capitalism displaced feudalism as the dominant culture in the eighteenth century.

The birth of industrial capitalism

Tracing the socio-cultural factors behind this recurrent class conflict, this study will begin with an examination of the land enclosure movement, first evidenced in Tudor England (Polanyi, 1944). The resulting dispossession of the agrarian populace not only precipitated a landless class of unemployed but also allowed for the 'primitive accumulation' of capital (De Angelis, 2001; Marx, 1867), paving the way for the Industrial Revolution. Although widely seen as a cruel and heartless eviction, or 'a plain enough case of class robbery' (Thompson, 1966, p. 218), the enclosures, by creating a workforce where none had existed before, made possible the present era of industrial capitalism which has been responsible for periods of prosperity and affluence entirely unknown under previous regimes (Lazonick, 1974; Shaik, 2016). There was little prosperity, however, for those immediate generations of the evicted (Patriquin, 2004; Thompson, 1966), and it is only the passage of time and the callous indifference of capitalist elites to the plight of 'the other' that has veiled from view the hopelessness and dependence that attended those masses of the common people cast aside in the pursuit of progress.

Research Question

The motivating principal behind the system of capitalism that kick-started the Industrial Revolution is *profit*, which is created by the simple expedient of rewarding workers as frugally as possible, while at the same time requiring them to maximise their production (Bonacich, 1972). In pursuit of profit, the capitalist system has shown itself to be prone to experiencing 'boom' times, followed periodically by unpredictable downturns or 'busts' (Patriquin, 2004; Shaik, 2016). The Great Depression of 1930 being such a bust, in which the echo of those lost generations of the enclosures might still be discerned. An examination of this unvarying theme, observable in mining communities in Australia from historic times to the present, will ask the question: *Given that society is composed of unpredictable and emotional individuals acting independently in evolving social structures over long periods of time, what explanation can be found for the recurrent and cyclical nature of class conflict in the development trajectories of mining communities in Australia over this time?*

EARLY MINING COMMUNITIES: 1841-1851

The settler society of Australia was a scion of the British establishment (Lloyd, 2003). Despite this heritage, the subjection of the working classes to the elites was eroded early in settlement history by the relative scarcity of workers compared to overcrowded England (Collins, 1985; Lennon, 1989; Strikwerda, 1999). This labour shortage was compounded by the gold rushes of the mid-nineteenth century as the diggers left en-masse for the goldfields, with the government powerless to keep them at their 'jobs' (Blainey, 2003).

Bound for South Australia

South Australia, although rich in copper, turned out to be the poorest Australian colony in gold, losing thousands of men to the goldfields of the Eastern States in 1851. Ironically, despite being the last of the colonies to be settled, it was South Australia that produced the first base metal mines (Blainey, 2003). The proximity to the Port of Adelaide of the first exploited lodes of silver-lead in South Australia in 1841 made them just barely payable, until the discovery of rich copper lodes at Kapunda in 1842. Further discoveries at Burra-Burra in 1845 provided a welcome export income to

the otherwise cash-strapped colony. With more rich copper deposits being found at Wallaroo, Moonta and Kadina on the Yorke Peninsula, the 1870s saw South Australia replace Cornwall as the largest copper producing region of the British Empire (*Ibid*). Cornish miners, impoverished by the 1837-45 trade recession in Britain (Stephens & Roderick, 1971), migrated to the new discoveries in South Australia in their thousands.

The Cornish 'tribute system'

Along with their mining skills and their Methodism, the Cornishmen brought with them a system of mining known as 'tributing'. In a tribute system the mine 'Captains', as Cornish mining foremen were known, would mark out previously exposed sections of underground ore bodies or 'pitches'. On a given day these pitches were offered to assembled groups of miners to be worked on terms proposed by the company. A pitch thought to be poor might be offered at a rate of return of ten shillings to the tributers for every £1 value of mined ore, while a more promising pitch might be offered at only a few shillings per £1 of mined ore. If more than one group of miners wanted a particular pitch, they bid for it, with the successful group being the one that offered to mine for the lowest return per pound (Blainey, 2003; Price, 1888; Yamanaka, 1985). The tribute system worked as admirably in South Australia as it had for centuries in Cornwall. Tributers were effectively their own 'bosses' and those that struck a lucky pitch could enrich themselves enormously. Mine owners and shareholders didn't mind this at all, as they too were proportionately enriched by this good luck, and the windfall only encouraged other miners. On the other hand, if the pitch turned out to be poorer than thought, the miners might make less than wages. If sufficiently poor, the pitch might be abandoned, allowing the company to offer it again at a more attractive price. The tribute system effectively spread the financial risk inherent in mining between the mine owners and the workers (Yamanaka, 1985). The fact that every group of tributers was in competition with his fellow miners in bidding for a pitch meant that industrial relations disputes were uncommon in the South Australian Cornish mining communities, lending a further dimension to the class conflict discourse.

Little Cornwall

This relative industrial harmony contributed to the mining communities of Moonta and Kadina on the Yorke Peninsula becoming the largest towns in South Australia outside Adelaide, and the largest Cornish settlements outside Cornwall. (Blainey, 2003). With their Methodist faith, the Cornish were ardent churchgoers. Moonta alone required at least sixteen churches to service its over five thousand people, and religious revivals were not infrequent. After settlement of a rare industrial dispute in 1874, four thousand people gathered in a circle at Moonta and offered thanks to God, with fine Cornish voices raised in a stirring Wesleyan hymn (*Ibid*). Today, long after the last copper mines and smelters have fallen silent, many South Australians reflect this proud Cornish heritage, being distinguished by surnames such as 'Evans', 'Elliot', 'Glasson', 'Hawke', 'Johns', 'Lyon', 'Nankervis', 'Pengelly', 'Phillips', 'Trewartha', and 'Truscott' to name just a representative few.

RALLYING THE WORKERS

By the 1870s the increase in company mining in Victoria led to intensifying union activity. W.G. Spence led his Creswick Miners into a merger with the Amalgamated Miners Association, becoming its general secretary in 1882, and leading numerous successful battles over wages and conditions (Spence, 2013). The formation of the Trades and Labor Council (TLC) in 1871 in Sydney gave at least a vestige of permanence to the fifteen or so unions then operating in the premier colony. Prior to this, unions had experienced a rather ephemeral existence (Nairn, 1989). Some indication of the difficulties faced by unions trying to organise in a British colony in these early years can be exemplified by the case of the 'Tolpuddle Martyrs', a group of six English labourers who as recently as 1834 had been sentenced to transportation to Australia for attempting to form a union (Thompson,

1966). The early successes of unionism in Australia have been attributed to the relative shortage of labour, which became acute after convict transportation to the Eastern States ceased (Nairn, 1956).

Under the capitalist system, scarcity has always commanded high prices, so that by 1890 the Australian worker had won conditions and wages unachievable back in the home countries (Howard, 1977; Maddock & McLean, 1984). This situation suffered a reverse during one of capitalisms periodic 'busts' in the 1890s. A world recession at this time was further compounded in Australia by severe drought (Butlin, 1958; Merrett, 1997, 2013), hitting Australia's commodity-based export income particularly hard. Speculation and over-investment in Australia through the 1880s had created an 'asset bubble', particularly in Melbourne real estate, as investors rushed to cash in on the boom. Banks lent money with abandon, until the inevitable free-falling asset prices signalled the end of the boom, triggering widespread failures of banks in 1891-1892 (Merrett, 2013).

Birthed in violence: the political turn

Employers took opportunity during the resultant shortage of work, to mount a ruthless campaign to break down the hard-won conditions and wages of the working class, aided and abetted by government and police. The unions proved unable to counter this orchestrated attack despite the series of great strikes of the 1890s, in which the possibility of armed violence and even civil war were an ever-present threat (Spence, 2013). Prompted by this demonstrated powerlessness in the face of such concerted opposition the labour unions sought redress through the political system by forming the first Labor Parties in Australia (Archer, 2007; Howard, 1977). This proved a significant milestone in the evolution of class conflict, as the labour movement sought to counter the collusion between capitalist elites and government.

The 'Australian Settlement'

At Federation in 1901, the Australian Nation was founded, in the words of Kelly (1994, p .1) 'by practical men striving for income, justice, employment, and security'. Avoidance of a repeat of the threatening class warfare of the 1890s was subsequently sought by these practical men, through agreement between the three political parties then existing, along with manufacturers, and organised labour (Woodward, 2005). The policies that emerged from this agreement, the principal architect of which was Alfred Deakin, although never formally defined have been coined by Kelly (1994) as the 'Australian Settlement'. Summarised by Kelly under five headings: 'White Australia, Industry Protection, Wage Arbitration, State Paternalism, and Imperial Benevolence', this remarkable collective agreement was largely successful at underwriting industrial peace and class cooperation in Australia for well over half a century, until the globalising world of the 1980s found it wanting (Kelly, 1994; Lloyd, 2002; Woodward, 2005).

MINING COMMUNITIES: THE HISTORIC VIEW, 1870-1919

The development of deep lode mining as the surface alluvial deposits were exhausted contributed to a shortage of labour as skilled underground miners became highly sought after, again allowing them to secure favourable wages. Mining towns sprang up in often desolate and remote surroundings determined by the location of mineral lodes. Towns such as Broken Hill in New South Wales, established in 1883, and Irvinebank in North Queensland in 1884, had to provide all the necessities of life for a workforce of miners employed in the sole industry in town, the winning of minerals from deep in the earth.

Jack and his master

Living and working conditions in general in the late nineteenth century were harsh, primitive and often dangerous, and the mining towns of Broken Hill and Irvinebank were no exception. Despite this, both of these communities enjoyed an egalitarian spirit in their early days, with little evidence of class conflict. The stated objective at the formation of the Barrier Ranges Miner's Association in Broken Hill in 1884 was 'to promote the interests of the silver fields by the close union and cooperation amongst the classes', and to avoid 'the absurd antagonism which sometimes appears to exist between labour and capital' (Kennedy, 1978, p. 19). At the tin mining town of Irvinebank, similarly, this egalitarian spirit was in evidence in 1890 when the entire workforce of the community wholeheartedly volunteered their labour to Mr John Moffat, proprietor of the Irvinebank Mining Company, to rebuild the company dam which had burst during the wet season of that year. This was acknowledged as 'a great effort of cooperation in a time of emergency', which saved Irvinebank in an hour of financial constraint (Alexander, 1954, p. 3).

Why these mining communities experienced little evidence of class antagonism during their formative years poses a question that this research will endeavour to answer. Both settlements went on to endure recurrent acrimonious industrial disputes between working class and management in later years, which in the case of Irvinebank, resulted in the premature collapse of the Irvinebank Mining Company. With an Australian 'disrespect for Britain with its traditions of non-democratic privilege' (Garnaut, 2002, p. 3), a possible answer might be found in the egalitarian ethos that was fostered during the gold rushes. On the goldfields, men worked claims as individuals or in small groups, and found that 'Jack', left to himself, was every bit 'as good as his master'. At Broken Hill and Irvinebank, early arrivals responding to the news of 'new strikes' would have hoped to repeat the experience of the goldfields by pegging a claim on which to establish their fortune, only to find that the logistics of hard rock mining consigned most of them as 'wages men' in a company structure, with the 'master' firmly in control. As mining work progressed further underground, the increasingly dangerous and difficult conditions encountered, combined with the growing evidence of affluence among elite shareholders and mine owners hardened the men's resolve to try to improve their lot, resulting in a resurgence of that 'absurd antagonism which sometimes appears to exist between labour and capital' (Kennedy, 1978, p. 19).

A victory worthy of Pyrrhus

In the first decade of the 20th century, trade union power was reaching a peak in North Queensland with the formation of the Amalgamated Workers Association, centered in Irvinebank. This was achieved under the guidance of 'Red Ted' Theodore and Bill McCormack, both destined to enter politics, becoming in due course, successive premiers of Queensland Labor Governments (Fitzgerald, 1994; Hunt, 2010). During this time the Irvinebank district saw a resurgence of class conflict with bitter industrial campaigns being fought. At the nearby mining settlement of Stannary Hills, after a protracted strike in 1909, the company eventually capitulated to the miner's terms only to close down the mines two months after work resumed (Hunt, 2010). Irvinebank followed a similar fate within ten years despite high tin prices prevailing at the time; the fire-sale of Irvinebank Mining Company assets to the Queensland Government in 1919 the result of a decade of recurrent class conflict (Kerr, 2000; 'Tin town of Irvinebank', 1919).

MINING COMMUNITIES: THE CONTEMPORARY VIEW

As Australia entered the third decade of the twentieth century the economies of the industrialised world collapsed into the 'Great Depression'. This caused bankruptcies, mass unemployment and a subsequent 'capital crisis' which lingered on until government financing of Australia's Second World War effort provided the necessary boost to the economy (Lloyd, 2003). For

almost three decades after WWII, Keynesian economic policy underwrote prosperity and industrial peace in Australia (Palley, 2004).

Agreement and betrayal

In 1973 the OPEC oil crisis, along with increasing globalisation, ushered in rampant inflation and militant industrial action, as trade unions endeavoured to maintain wage parity (Kelly, 1994). Under these conditions, it became obvious that the provisions of the Australian Settlement which had secured relative industrial peace since federation were no longer effective. The Whitlam Labor and Fraser Conservative governments introduced piecemeal corrective measures, but a more workable solution was not forthcoming until the Hawke Labor government brought the trade unions into an 'Accord', which saw the industrial unrest come to an end (Kelly, 1994; Woodward, 2005).

Unfortunately, the agreement under this Accord, unlike that of the Australian Settlement, did not include either the conservative opposition or the employers. This enabled the subsequent Howard conservative government to introduce 'New Right' policies and legislation in the mould of Reagan and Thatcher, aimed at destroying the representative power of working-class unions (Cooper & Ellem, 2008) and abetting the monopolisation of Australian mining interests by Trans-national Corporations (TNC's) such as BHP Billiton and Rio Tinto. Industrial relations policies which have been pursued by these companies in the iron ore mining industry in the Pilbara, with the collusion of government legislative support (Cockfield, Rainnie, Buttigieg, & Jerrard, 2009; Cooper & Ellem, 2008), have seen a return to working conditions reminiscent of those of the nineteenth century, with twelve hour workdays, de-unionisation and casualisation of the workforce, outsourcing to contractors, introduction of individual work agreements and an end to collective bargaining. Workforces have been further fragmented by the demise of mining communities with the advent of fly in-fly out (FIFO) long-distance commuting, usually from capital or major regional cities (Langdon, Biggs, & Rowland, 2016).

The great white 'shell game'

Along with the elimination of tariff protections and the arbitration of industrial disputes, globalisation and 'New Right' legislation have also managed to remove the foundation plank of the Australian Settlement, the 'White Australia Policy' (Kelly, 1994). This policy, crafted at federation, was thought essential for the protection of Australian workers' hard-won conditions from cheap foreign labour. Although today synonymous with an overt racist attitude in Australia, in fact, while racism may have emerged in the wake of the White Australia Policy, it was the protection of working-class conditions that was the initial motivation for its inclusion in the Australian Settlement (Markus, 1985). This Policy, which became 'the first plank in all parties policies' (Nairn, 1956, p. 27) at federation, was a response by these practical men to the practice of both British and home-grown capitalist elites to favour the employment of initially convict (Nairn, 1956), and subsequently, imported non-white, and therefore cheap labour at the expense of Australian workers (Balachandran, 2011; Bonacich, 1972; Markey, 1996; Markus, 1985; Martinez, 1999; Strikwerda, 1999).

In the present era of globalisation, it is capital rather than labour that is highly mobile, allowing for jobs in manufacturing to be exported from Australia to low wage, developing countries (Lambert, 2000). Today most of our household furniture, electrical and white goods, along with motor vehicles, which once were manufactured here in Australia, are now produced offshore and imported. The resulting 'level playing field' competition forces the wages of Australian workers into ever closer parity with that of countries like China, India and Thailand. In this recurrent cycle of class conflict, it is now capitalist elites who are in the ascendency, again with the collusion of government.

AUSTRALIAN MINING: THE DEMISE OF COMMUNITY

The automated future

The Australian mining industry, with invested TNC capital rendered immobile by the location of ore bodies, is pursuing what it sees as the only course open to it to maximise returns in the face of the present relatively high wage structure of Australia: that of increasing automation, with the resultant minimisation of workers (Bellamy & Pravica, 2011; Boulter & Hall, 2015; Burger, 2006; Kiziroglou, Boyle, Yeatman & Cilliers, 2016). From peak employment in 1901 of 9.2% of the workforce (Eklund, 2015), in 2016-17 mining employed just 2% of the nation's workforce (Labour Market Information Portal, n.d.) while returning export income of A$198 billion (Minerals Council of Australia, n.d.). Capital expenditure in increasingly sophisticated machinery is rapidly replacing traditional labour as the artificial intelligence (AI) revolution advances.

The future of work for the de-unionised and widely scattered and transient FIFO Australian mining 'community' is set to parallel the plight of the agrarian workforce of England in the period when the landowning class separated the 'peasants' from their means of living by enclosing the farmland of 17th century England (De Angelis, 2001; Marx, 1867). This has already occurred across a once diverse, and now greatly diminished Australian manufacturing industry. The anguish of the dispossessed working class is plain to see, with older workers facing long-term unemployment while the remuneration to CEO elites and board members has become a hissing and a by-word (Anenson & Mayer, 2010; Brick, Palmon & Wald, 2006; Wilhelm, 1993).

Australia Quarry Inc.

Australia today is a quarry to the world, with an ever shrinking workforce required to man that quarry, and the rest of those fortunate enough to have a job being employed in service and support roles, or the non-wealth generating humanitarian sector. If there is one completely certain prediction about Australia's future it is that the mines are going to close and companies leave when the minerals are exhausted, as they inevitably will be (Laurance, 2006). While there is much discussion today about 'corporate social responsibility' and the 'sustainability' of mining communities after the mine shuts down (Lansbury & Breakspear, 1995; McDonald, Mayes & Pini, 2012), what does the future hold for the working class of Australia when the mine is the whole country?

Interim conclusion: 'What has the government ever done for us'?

This study attempts to trace the ebb and flow of fortunes across the temporal trajectory of the ceaseless class conflict in Australia through an examination of the mining industry. With first the capitalist elites, and then the workers gaining the ascendency, only to lose it in the next great see-sawing of industrial capitalism, one thing stands out strongly. In 19th century England, as in colonial Australia, the government and the courts sided with capitalist elites to keep the working class in subjection. At Australian Federation, a group of 'practical men striving for income, justice, employment, and security' (Kelly, 1994, p. 1), representing government, opposition, employer and worker, forged an egalitarian agreement that made Australia the envy of the industrialised world for over 50 years (Lambert, 2000; Lloyd, 2003). That the provisions of the Australian Settlement required adjustment to accommodate a 20th-century globalising world is beyond dispute, but its complete abandonment in the 1970s and '80s has taken industrial relations in Australia back to the nineteenth century. Today, successive Australian Governments have again chosen to side with capitalist elites in the suppression of the working class (Cooper & Ellem, 2008). This situation is unlikely to change until Australian voters unite at the ballot box to punish governments who choose not to uphold the

egalitarian ideal in which this Nation was founded, and demand representation by a government of 'practical men' in the mould of Alfred Deakin, who will strive for 'income, justice, employment, and security'.

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100

Why employment turnover is not dysfunctional? Disentangling the turnover-innovation relationship

Employee turnover is not necessarily "dysfunctional". Despite the established negative effects of employee turnover on innovation, literature on learning and dynamic capabilities suggest that new employees can bring new ideas to the firm, facilitate organisational renewal and usher innovation. Some scholars have investigated the employee turnover-innovation relationship and have found positive effect. However, we do not understand the underlying mechanisms through which employee turnover enhances innovation. Our theoretical framework seeks to explain the underlying mechanisms of how turnover can lead to service innovation and the conditions under which it is possible.

102

The benefits of leader happiness: A parallel mediation model - Linking employee happiness, LMX, and work engagement

It is an increasingly popular assumption that leader happiness may positively affect employee behaviours and, in turn, employee engagement. Yet, little empirical evidence is available on the mechanism of the link between leader happiness and employee outcomes. Against this backdrop, drawing upon social exchange theories, we develop and test a parallel mediation model of leader happiness. Drawing upon questionnaire data obtained from 214 Malaysian employees and their 77 immediate supervisors, we propose that leader happiness enhances employee engagement and that this relationship is explained by increased employee happiness and high-quality LMX. Results provide consistent support for our hypotheses. In sum, these findings expand our understanding of happiness to the domain of organizational leadership.

106

Wicked solutions? Discrimination, kindness and collaboration

The wicked problems of poverty and wealth inequality defy simple solution, and yet much policy relies on single measure research. This study investigates a set of relatively disadvantaged and yet successful long-term microentrepreneurs in an emerging economy, asking the overarching question "How do operating conditions support long term business sustainability?" Field observations and interviews of five female Muslim Malay microentrepreneurs were conducted over a three month period, being the initial stage of a larger study. The findings revealed that the female microentrepreneurs (FEPs) were skilled operators in small venture operations, marketing and finance. Government regulation, selective regulatory enforcement, stable communities of practice, and kindness were important in a collaborative rather than competitive market structure. Rather than interventions targeted at business skills or finance, these FEPs needed a safe and secure operating environment and family support. Formalisation of markets acts against their economic and social interests, which are supported by informal rather than formal institutions.

110

A critical review of high performance work systems and job satisfaction: Do job-based psychological ownership and on-the-job embeddedness matter?

Satisfied employees are regarded as the key source of achieving competitive advantage for any organisation. Although high performance work systems (HPWS) have been found to enhance employees' job satisfaction, thorough understanding of the mechanisms developed within this relationship is still limited. Often referred to as the human resources management (HRM) 'black box', this paper attempts to unlock the 'HRM black box' through a systematic review of 51 articles, published between 2000 and 2018 examining the relationships between HPWS and employee job satisfaction. This review leads to the development of a conceptual framework. Specifically, two employee-level mediating mechanisms: job-based psychological ownership and on-the-job embeddedness are identified in the model. This paper concludes with directions for future research and practice.

112

Emotional labour of healthcare professionals in Pakistan: A gendered perspective

Emotional labour refers to the process by which workers are expected to manage their feelings in accordance with organizationally defined rules and guidelines. This paper aims to investigate the nature and variation of emotional labour of healthcare professionals in Pakistani hospitals context. It is a qualitative study based on in-depth semi structured interviews and observations. The findings suggest that there is a diverse variance between the responses from male and female healthcare professionals to address emotional labour. The major findings discuss: (1) how healthcare workers struggle in their display of emotional labour after their experiences (2) how low wages in early medical career can cause emotional labour (3) how success comes with dealing emotional labour differently (4) differences in the ways male and female healthcare practitioners experience emotional labour.

116

Investigating the relationship between supply chain capabilities and the sustainability performance of product–service systems: A dynamic capability approach

Product–service systems (PSS) is the integration of the product and the service proposed to be marketed as an integrated solution. A network of an upstream and downstream supply chain is crucial to provide a product–service bundle. However, previous studies have been confined to consideration of an upstream or a downstream supply chain concern, while research in the integrating of the two areas is still nascent. The proposed conceptual model will integrate both the upstream and downstream supply chain capabilities and investigate their relationship with the sustainable performance of PSS using dynamic capability. Opportunities are recognised for cross-sectional research to build a theoretical conceptual model leading to a more comprehensive solution for sustainability performance of PSS.

118

Skilled migrants' psychological workplace wellbeing and community embeddedness

Regardless of the social and economic impacts of skilled immigration on the host countries, studies of skilled migrants within organizational research remains limited. Especially, little is known about how perceived skill utilization may influence on the relationship between psychological workplace wellbeing and community embeddedness among skilled immigrants. This study used a data of 379 skilled immigrants to compare this relationship among two groups of them 1) skilled immigrants who perceived skill underutilization and 2) skilled immigrants who believed their skills were appropriately used in Australia. The results suggest there is a significant negative relationship between work discrimination and community embeddedness among those who perceived skill underutilization. This relationship was not found among skilled immigrants who did not perceive skilled underutilization.

119

An exploratory study of organisational and industrial drivers for the implementation of emerging technologies in the Australian logistics industry

New technologies and their applications have the capacity to transform industries offering substantial benefits to users. One such industry is logistics services and warehousing. Given the increasing demand for advanced logistics services, 3PLS face greater pressure to deploy and realise these technologies. Whilst the opportunities for 3PLs are vast and well understood, they can also present challenges and concerns. The purpose of this paper is to analyse various technology initiatives undertaken by stakeholders in the Australian logistics industry and the organisational and industry drivers influencing its deployment and impact on sustainable operations. We conducted in-depth interviews with 12 stakeholders in the Australian logistics industry. The analysis revealed several drivers for the deployment of new technologies in logistics, including those internal organisational factors that drive supply chain network optimisation. The analysis also identified external drivers, specific to the Australian context along with, barriers and solutions that could be implemented by organisations for sustainable operations. The paper concludes with a discussion of the managerial implications of the research, particularly for the development of technology strategies.

12

A structural theory of action perspective on women quitting their careers

Research on educated women not pursuing careers in the favor of a full time role in the family has seen a rapid increase over the past three decades (Ahmad, 2017; Kuperberg & Stone, 2008). Most of this research is focused either on structural factors influencing women's career-related choices, or on their individual agency in making career-related decisions. Using a structural theory of action (Burt, 1982), we attempt to bridge the structure versus agency gap within this stream of literature and study how individual actors make decisions by comparing their perceived wellbeing to that of structural equals or peers. Drawing on in-depth interviews with 26 college-educated women from the Lahore and Islamabad/Rawalpindi regions of Pakistan, we investigate the potential structural influences on these women's decision to quit their careers. The Pakistani context is unique because while there has been a notable increase in women's higher education in the country, the increase is not matched by an equal, or even near, increase in female workforce participation. Results show that social structures interactively influence individual women's decision to quit their careers. However, these influences are not determinants but constraints under which women assess their options in terms of perceived wellbeing.

121

How do government subsidies affect corporate innovation? Moderating effect of marketization process and financial transparency

Purpose – This paper aims to examine the impact of government subsidies on firms' R&D innovation in the context of China. It also verifies the moderating effect of regional marketization process and financial transparency in this process which reflects the government behaviour.

Design/methodology/approach – This paper constructs a model to verify its hypothesis by empirical research. We collected first-hand data on 2,091 listed Chinese companies in the public database. This includes their basic information, subsidy data, R&D innovation data and financial data. In addition, we also collected regional data on provincial market processes and fiscal transparency. The relationship between government subsidies and enterprise innovation was quantitatively analysed using panel fixed effect model and panel Tobit model regression method.

Findings – Chinese government subsidies have promoted the R&D and innovation of listed companies, and this positive influence is more obvious for enterprises in provinces with higher level of regional marketization process. Simultaneously, for enterprises located in provinces with a high level of financial transparency, the incentive effect of government subsidies on their R&D and innovation is more prominent.

Originality/value – This paper examines the moderating effects of marketization and financial transparency. It can enrich the research on the relationship between government behaviour and firm innovation. These findings will help the government to make scientific and effective subsidy decisions and promote the optimization of enterprise innovation environment.

126

Choice overload and small-agent rationalization preventing boycotts

The Internet and social media has increased the number of organizations and people asking consumers to sign petitions against transgressing brands. This raises a question as to whether such increases in requests to boycott, positively or negatively impacts on consumer willingness to enact anti-consumption. This study investigates the effect of choice overload on consumers signing a petition in support of a boycott call. The findings establish that individuals who need to make a choice from numerous causes (i.e., large choice-sets) are less likely to sign a petition to support the boycott call than individuals who need to make a choice from a small number of brands. The study further establishes a mediator that explains this effect. Compared with individuals facing a small choice-set, individuals facing numerous options are more likely to experience the small-agent rationalization, and thus are less likely to sign the petition. The small-agent rationalization we refer to relates to one's acceptance of inequity in the world as well as perceptions of powerlessness. The study introduces choice overload to boycott literature and vice versa, as well as providing some policy implications.

128

Heuristics, herding and prospect bias: A peek into the millennials' financial decision making mindset

While much of the financial theory is rooted in the assumption of rational investors, the recent work in the area of behavioural finance highlights some non-rational aspects that influence financial decision making. While the behavioural phenomenon is certainly not new, it has recently picked up more traction in the financial research. Although, work is available on individual cognitive biases, there is limited guidance on relationships between these biases. This paper studies the influence of herding and prospect bias on heuristics. We specifically study these relationships for millennials' in the context of their decision making for equity and mutual fund investments. We find that both herding and prospect bias influence heuristics of millennials for their equity and mutual fund decisions.

13

Setting the agenda for change: A stakeholder perspective on developing work-ready skills through work-integrated learning

This paper presents undergraduate business students and academic perspectives in relation to the importance of work ready skills and the most effective work-integrated learning (WIL) activities for the development of such skills. A total of 50 business students and 24 academics participated in the study. It was found that students and academics hold different views to the importance of work-ready skills in the curriculum and the importance of learning specific skills such as project planning and professionalism. These findings have implications for the development of work-ready skills in the curriculum and embedding both WIL and non-WIL activities in undergraduate courses for business school educators and university policy makers.

131

Are Overqualified Employees Satisfied with Their Lives? Examining the Role of Personality and Coping

Building on person-environment fit theory, we explored how depending on personality, overqualified workers may approach their misfit differently, and how this may further impact their life satisfaction. We hypothesised that overqualified workers who score high on extraversion and conscientiousness will directly approach their person-job misfit, resulting in better life satisfaction. We tested our hypotheses in a time-lagged data of full-time working adults (N = 117). As predicted, the negative relationship between overqualification and life satisfaction was weaker for high extraversion, but not because of approach coping. Unexpectedly, the results of moderation mediation analysis showed that overqualified workers who score high (not low) on conscientiousness were less (not more) likely to use approach coping, resulting in heightened life dissatisfaction.

138

High Performance Work Practices and turnover intention: What age-specific differences?

This article, anchored in social exchange and lifespan theories, investigates two important turnover-related topics linked to an ageing workforce: age-specific differences in voluntary turnover, and the differentiated effects of High Performance Work Practices (HPWPs) on voluntary turnover among three age groups. We use a private-sector employer-employee database from Luxembourg, and analyse five HPWPs (teamwork, training, information sharing, performance-related pay and voice). The results show that older and middle-aged workers place high importance on information sharing, while younger workers are more sensitive to participating in decision-making related to major company changes. The results have implications of interest both for theory and practice (e.g., managers).

14

MNC Subsidiary Innovation: A Comprehensive Model

This conceptual paper draws on the dynamic capabilities perspective from the strategic management literature and applies it as a novel theoretical lens to the examination of MNC subsidiary innovation. The paper proposes an integrative and multi-level framework which a) differentiates between generative, sourcing and integrative capabilities, b) relates these to the new proposed construct of dynamic knowledge capability and c) establishes a link between dynamic knowledge capability and subsidiary innovation. The framework explores main effect, moderating effect, and interaction effect in dynamic capabilities-subsidiary innovation link and performance implications. In addition, the framework addresses the levels of subsidiary, the multinational corporation and the host country, which constitute the global environment for MNC subsidiary innovation. A set of theoretical propositions is developed and research and managerial contributions as well as implications are discussed.

142

Building Mental Health Networks – in Search of a Best Practice Model

Across the globe mental health demands are increasing resulting in the resources to provide services being stretched beyond capacity. Consequently, there is a growing need for public, private and not for profit sectors to work together to provide effective and seamless health services. One particular option gaining attention is the creation of mental health networks. However, networks typically require collaborative behaviour which research and practice has shown can be challenging. This paper explores best practice in mental health networks to understand the aspects facing such initiatives. Data was elicited through semi-structured interviews. The resultant findings form the basis of an embryonic conceptual model depicting not only the extensiveness of aspects for consideration but also their interactivity.

143

Benefits of networking for employees: Does gender matter?

Employees are encouraged to demonstrate their networking behaviours to enhance their work outcomes in organisations. Yet, there is little empirical evidence of how networking behaviours influence work outcomes and how employee gender moderates this relationship. We developed and tested a model considering the relationship between internal and external networking behaviours and work outcomes (job commitment and career success) while examining the moderating role of gender. We collected data from both employees and their supervisors from private sector organisations in Sri Lanka. We found positive relationships between internal networking behaviours and job commitments and external networking behaviours and career success. We also found that internal networking behaviours are more beneficial for women's job commitment than for men. We discuss the implications of our findings.

144

Validity Analysis of Selection Process for MBA Admission: A Case from India

Most of the Indian B-Schools follow an intensive and long-drawn selection process for admission into their MBA program. As the excellence of an MBA program depends a lot on the fit between inducted candidates and the program, the effectiveness of the selection process assumes a great importance. The present paper is based on a study in this relatively less explored field. By taking a disguised case of a reputable B-school in India and employing three-year longitudinal data (N=148), the paper examines criterion-related (concurrent and predictive) validity of different components of a typical selection process and of the overall process. Results identify both the strengths and areas of improvement of the process. Discussion on the results along with recommendations are presented at the end.

146

What I experienced yesterday is who I am today: A multi-wave daily diary study of the effects of off-the-job experiences on abusive supervision

The work-related antecedents of abusive supervision are well known, but less is known about cross-domain antecedents, specifically how supervisors' daily lives affect abusive supervision. Our study aims to address this limitation by investigating common but heretofore overlooked supervisor's daily off-the-job experiences that may influence their behaviour at work. Specifically, we look at the role of supervisor's daily recovery experiences. We conducted a five-day diary study (N = 101 with a total of 505 matched data sets) and found that an incomplete or poor recovery occurring between leaving work one day and returning the next is a reliable predictor of next-day abusive supervision. Moreover, we found that a supervisor's poor recovery experiences will spill over to provoke his/her next-day abusive behaviour through the experience of start-of-workday negative mood. Analysing the within-individual level moderating effects of a supervisor's daily sleep quality, we found that a good night's sleep diminishes the negative mood resulting from poor recovery experiences and consequently the incidence of next-day abusive supervisory behaviour. The theoretical and practical implications of our results are discussed.

147

Does Sustainability Come at a Cost? An Empirical Enquiry into Conditional Correlation and Volatility of Sustainable Indexes and Traditional Indexes

Academic research has focussed on evaluating whether the businesses performing high on ESG can also fetch better financial returns for the investors (Benson, Brailsford, & Humphrey, 2006; Hoti, McAleer, & Pauwels, 2007: Opler & Sokobin, 1996). However, rare attempts are made to understand, volatility in socially responsible investing (Sadorsky, 2014a) indexes. Further, no piece of literature has compared the conditional volatilities of SRI indexes with those of typical indexes. This paper attempts to fill this gap by conducting research in lines of the previous work by Jain, Sharma, & Srivastava (2019) to study the conditional correlation and volatility behaviour of sustainable indexes and typical indexes, through the application of Dynamic Conditional Correlation (DCC) – of multivariate generalized autoregressive heteroscedasticity (GARCH) model.

149

Independent non-executive director's role and company value: Misplaced loyalties or institutional clash

The paper investigates links between independent directors and firm value in the specific context of concentrated ownership. Using the unique sample of 50 Mauritian and Polish companies listed in years 2007-2015, we apply the framework of agency theory to identify the monitoring effect of IDs in two legal systems – common law and civil law. Our panel based on the overall sample of 394 observations shows the negative relationship between IDs on boards and firm value. Specifically, the effect remains negative for companies operating in the civil law system, while the stronger protection offered by common law offsets the effect of concentrated ownership revealing non-correlation between IDs on board and firm value.

150

Insights on the double glass ceiling for women immigrant entrepreneurs in high-tech industry

Although the number of women-owned firms is growing, there still remains the gap in the technology sector. The purpose of the present study is to explore the barriers faced by women-entrepreneurs due to their immigrant and ethnicity status. The paper presents a literature review in order to shed light on the possible causes of the lower number of women immigrant entrepreneurs particularly in high-tech sectors. Given the human, financial and network disadvantages faced by women vis-a-vis men, the immigrant status escalates the barriers further and create additional layer of "glass ceiling" to pass for women who want to start a technology-based venture. In other words, immigrant women face a set of invisible barriers to advancement in their entrepreneurial career in high-technology sectors. The paper points out the existence of barriers and calls for researchers to find out ways to tear down these glass ceilings in order to empower woman and support their contribution to society as UN 2030 Agenda for Sustainable Development argues.

153

Towards trust and protective actions: The role of risk communication and context during natural hazards

Effective communication strategies are important in times of risk and natural hazard events. Emergency management organisations utilise communication strategies leading up to and during natural hazard events in an attempt to encourage community members to engage in protective actions. Five hundred and four participants completed a quantitative survey based on an experimental design in a bushfire or riverine flood scenario. Three different communication strategies were manipulated to examine subsequent intended behaviour. Results showed that personalising individual responsibility and demonstrating care were related to some intended protective actions. As well, greater trust was related to the most likely intended actions. Implications for emergency service communication and other organisational communication are presented.

155

The development of a contextualised leadership development model and instrument for Sydney Anglican clergy

Integrating ethics and performance in leadership has traditionally been difficult. This paper presents the preliminary findings on a contextualised leadership development model for Sydney Anglican clergy who are historically hesitant to utilise performance instruments. Through five focus groups and four panels of the profession's leaders and educators it modifies the Integrated Competing Values Framework and proposes a model for incorporating professional identity and performance, and by so doing creates a quantifiable ethical dimension within a performance-based leadership enhancement methodology. The goal is from this model to produce an acceptable instrument to be used by all 700 clergy to individualise and enhance their leadership development. It offers a method for achieving this while not forsaking historical leadership insights.

156

"You're the butcher or you're the cattle." Testing a moderated mediation model of when and how subordinate's behavior instigates abusive supervision

The present research explains the notion that subordinates' own behaviour instigates their own abuse. Drawing on self-regulation theory, we propose a moderated mediation model wherein subordinate deviance instigates abusive supervision through supervisor emotional exhaustion, and supervisor's core self-evaluations act as the boundary condition. A multi-wave and multi-source data collected from a large manufacturing company headquartered in China provide the support for the notion that subordinate deviant behaviour can be threatening to supervisor's self-regulatory resources, which culminates in heightened emotional exhaustion and abusive supervisory behaviour at the low level of supervisor's core self-evaluations. Theoretical and managerial implications are discussed.

160

Continuous improvement implementation in the New Zealand public sector: Critical success factors

This article reports the findings of a research project undertaken to understand the challenges in implementing continuous improvement in selected New Zealand public sector organisations. Academic literature on continuous improvement is skewed towards private sector compared to public sector and this study aims at addressing this imbalance. The overall objective of this study is to isolate the critical success factors for implementing public sector continuous improvement to formulate strategic interventions. Management support, organisation's culture, project type, communication, organisational strategy, implementation speed, language/jargon, local (Kiwi) ingenuity and individual benefits were identified as critical success factors. This article proposes the use of the System Dynamics method to develop strategic interventions.

163

Collaboration to reduce food loss and waste: A conceptual map

This paper explores how collaborative relationship in a food supply chain can reduce food loss/waste from the total supply chain by drawing from Vachon and Klassen (2008) and Dania, Xing, & Amer, (2018) theory on collaboration. Additionally, the paper adds horizontal collaboration to explain how collaboration from all perspective can reduce the FWL. By exploring the collaborative practices in use currently, this paper explains challenges associated with them. Finally, the paper draws a conceptual map and develops nine research questions for future studies. Other theoretical and practical implications of these findings are discussed in the paper.

164

Advancing a conceptual framework for understanding the influence of talent management practices on employee responses: The mediation role of individual self-concept of talent

Managing talent has become critical in the modern world, yet little is known about the psychological perspective of exclusive talent management context. Building on social exchange, social identity, self-consistency and equity theories, this paper develops a conceptual framework in pursuit of understanding the influence of talent management practices on employee responses. In addition, the model posits mediation role of individual self-concept of talent in the relationship of talent management practices and employee attitudinal and behavioural responses. The paper also highlights the relevance of individual perception on talent status, sense of power and distributive justice in shaping the response of talent in organizations. The model asserts implications for theory and managers to re-think the mechanisms of managing employee responses more effectively.

166

Insidious risk management through rehabilitation and closure in mining-related businesses

Crisis management scholars study acute and sudden risks rather than slow growing and less obvious risks that can also lead to crises. To understand slow growing, or insidious, risks we use the empirical context of mineral extraction and processing because mining involves temporary, yet disruptive land and water uses with potentially long-lasting effects. Some organisations manage insidious risks more effectively than others. We select four 'leading practice' cases then identify management practices that create successful rehabilitation and closure to give meaning to 'leading practice'. Document analysis uses the lens of 'high reliability organising' to interpret management practices. We observe an additional practice to HRO theory and find that external stakeholders are engaged in all but one of the six practices.

167

Reconceiving responsibility in management education

This paper considers three ways of (arriving at an) understanding of responsibility, in order to generate some initial, tentative insights about how we might use these multiple perspectives to inform responsible management education. The three perspectives explored are understanding responsibility as an aspect of evidence-based management; interpreting responsibility as a concept rooted in subjective experience, through hermeneutics; and a view of responsibility as a text, which conceals multiple understandings that can be revealed through deconstruction. We illustrate our insights with examples from a research study in which different understandings of responsibility were evident. WE conclude that responsible management education should seek to use these three perspectives in combination, despite the tensions and difficulties this entails.

168

Managing diversity in high-reliability teams in the emergency department

We examine the question of how High-Reliability Teams (HRTs) manage diversity by focusing on educational, power and functional differences among team members. Through a qualitative inductive study of a public hospital Emergency Department in Australia, our findings uncover eight strategies that HRTs use to manage diversity and their implications for effective and ineffective team processes. Our theoretical model contributes to the literature by offering nuanced insight into deep-level diversity in HRTs.

178

Real-world impact: The use of sustainable development goals (SDGs) and targets for solving wicked problems in Academia

This paper questions how impact is measured in academic research and proposes that the United Nations' Sustainable Development Goals (SDGs) are an effective framework for determining real-world impact. Using bibliometrics alone to assess the quality of academic work tends to be purely quantitative, and often self-referential, reducing the focus on real-world problems and solutions. The same measurements are often adopted by funding bodies, putting additional pressure on academics and schools to increase compliance, further reducing integrity and real-world impact. To commence on the ambitious agenda of the SDGs, a world-café methodology was conducted, collecting data on how researchers, their institutions, and network organisations (such as ANZAM) can contribute to, and measure research aligned with SDGs. The results of the analysis showed that participants were generally positive toward using SDGs. Suggestions included aligning governmental and institutional funding, changing KPIs, increasing cross-disciplinary work, aligning mission/vision statements, and legitimising SDG-focused projects at conferences.

179

From Heroism to Collegiality in leadership: Is Australian business media representing contemporary leadership?

This article identifies a complexity of gendered conceptualisations of leadership in media framing of leadership in Australian business magazines. The findings show that whilst individual leaders were portrayed as Champions, Heroes and Bosses, such traditional forms of leadership were also being questioned and a new, more inclusive and Collegial leadership was beginning to appear in some media portrayals. Further analysis identified the Australian media continue to frame women leaders against traditional norms of leadership, where women had to mirror masculine behaviours to be acceptable leaders. This paper creates a platform for future research on the implications of media representation on organisational perceptions of leadership.

18

Uncertainties of Autonomous Vehicles as disruptive technology in transport infrastructure planning and policy

Governments are responsible for ensuring public funds are invested wisely for the benefit of society amid volatile conditions. Considering the impacts and uncertainties of changing technologies on the decision-making process is crucial in public investment planning. For transport planners and government transport agencies, emerging technologies such as autonomous vehicles (AVs) challenge the conventional transportation planning decision-making, both for long-term and short-term planning. This study aims to investigate the potential impacts and implications of the uncertainties of disruptive technologies in transport infrastructure, planning and policy. This study provides a conceptual framework for resolving these uncertainties allied with AVs as disruptive technology in transport infrastructure planning and policy.

183

Framing Circularity

This article explores the implications of the circular economy for a holistic approach to sustainable development, as aspired to in the Sustainable Development Goals. We argue that in order to assess how the circular economy might enable such an approach we need to examine how managerial practices around the circular economy are framed by cognitive models of sustainable business and systems thinking that could enable reflexive management practice. Higher levels of positioning on the models would be associated with an embedded approach whereby social concerns are integrated into the traditional efficiency-based environmental and economic focus of the circular economy.

186

Entrepreneurial Orientation and Firm Ambidexterity: Is Knowledge Transfer a Missing link?

This study unfolds the relationship between entrepreneurial orientation and ambidexterity by discovering the mediating role of inter-firm knowledge transfer. Empirical tests using cross-sectional survey questionnaires confirm that entrepreneurial orientation facilitates ambidexterity through effective and efficient knowledge transfer. Specifically, entrepreneurial orientation enhances knowledge transfer effectiveness and efficiency, but with a stronger impact on the former. However, entrepreneurial orientation fails to significantly stimulate the simultaneous attainment of knowledge transfer effectiveness and efficiency. Furthermore, knowledge transfer effectiveness is a more prominent mediator between entrepreneurial orientation and exploration, whereas the mediating effect of knowledge transfer efficiency is stronger for exploitation. More importantly, neither effective nor efficient knowledge transfer alone contributes to ambidexterity; they interactively trigger it.

188

More than just an angry face: A critical review and theoretical expansion of research on leader anger expressions

Research on leader anger expression has been on the rise in the past decade. A systemic review is needed to assess the progress of the research and provide a critique and theoretical expansion to advance the filed. In the present research, we conduct a systemic review of the current literature on leader anger expressions. Based on the analyses of 51 studies included in our review, we found that research has made significant progress in advancing the understanding of leader anger expressions. However, the current theoretical models are rather static, calling for a dynamic approach in studying leader anger expressions. Integrating a range of theories, we suggest three ways of building dynamic models of leader anger expressions.

189

Understanding immigrant employees' experiences in the Australian multicultural workplace

This paper explores the experiences of immigrant employees in organisations in Australia. The interview data used in this paper was gathered as part of a larger study. The aim of the study was to examine if cultural experiences, cultural competence and diversity climate perceptions contribute to positive work outcomes amongst immigrant employees. The interview data was gathered as a means to understand if, how and why these factors may influence work outcomes amongst immigrants. Findings from fourteen interviews conducted with immigrant employees in Australia highlight the common issues these individuals face in their organisations. The findings also highlight the importance of these personal factors and organisational policies and practices in helping immigrant employee's deal with these issues.

19

Fluid entrepreneurial motivations in an emerging context

Previous research has largely overlooked the dynamics of entrepreneurial motivations. We examine "fluid" motivations through a focus group with experts and using quantitative survey data from 168 small-business owners in an emerging economy: Tanzania. This rapidly changing context is fruitful for dynamic motivations. The analyses show that small-business owners are clustered by their motivations and that, over time, these motivations change from necessity to opportunity. A higher educational level leads to more opportunity-focused motivations at the start of the business, while, in later stages, an increase in the fulfillment of personal needs shifts motivations toward the opportunity side of the continuum.

195

Headquarters-subsidiary relationships: An emerging country's subsidiary role through technological knowledge generation

Knowledge generation in Multinational Corporation (MNC) subsidiaries is a relatively recent topic explored by academia. This paper seeks to contribute to the current discourse by presenting a case study of technological knowledge generation as a changing factor in a Brazilian subsidiary of a high-tech MNC. In particular, the importance of the subsidiary general manager, expatriates, inpatriates, customer and Brazilian engineers. This paper also explores the importance of the role of the subsidiary general manager and their influence of moderating factors in this process were examined before suggesting a number of practical contributions for consideration by managers of subsidiaries within emerging economies.

196

Towards redefining eldergogy: a systematic literature review to understand how older people learn

This paper presents a systematic literature review (SLR) on the development of an elder centric learning theory –Eldergogy, and proposes a contemporary definition based on existing theory. The aging population is a globally-recognised wicked problem, and intergenerational learning programs provide an opportunity for reciprocal learning between generations. The United Nation's Sustainable Goal (4) calls for improved education across all ages, especially the vulnerable. The SLR showed that the elder-centric learning theory attracted limited theoretical and empirical development and has been criticised for not adequately addressing the needs of elders in their learning. The proposed redefinition of Eldergogy encourages emphasis on social independence, establishing an articulated social role for elders and allows transcendence through reminiscence as core objectives to elders' learning

198

Situating Employees in Organizational Change: A Systematic Meta-Review

Situating employees at the core of organizational change research is necessary to build our understanding of how change at work happens and how people deal with this change. The objective of this systematic meta-review is to consolidate evidence of employee responses to change and reframe it within an employee-centric perspective. We provide a systematic meta-review and synthesis investigating individual-level responses and reactions to change at work, published between 2001 and August 2017. A total of 21 reviews, involving 681 primary studies from the organizational change and occupational health literature were identified. This meta-review contributes a framework and suggestions to present a more employee-centric approach to organizational change research.

200

AOL as mechanism for continuous improvement or compliance? An investigation of business school practice

This paper seeks to explores the role of Assurance of Learning as mechanism for continuous improvement in business schools operating within AACSB framework. This paper uses a qualitative case study-based approach drawing on organisational documents interviews with academics and observations. This investigation seeks to inform business schools about ways to maximise the benefit of AOL beyond that of compliance and to achieve sustainable continuous improvement in business school educational outcomes. This paper highlights the importance of integrating established improvement methodologies with learning focused AOL approaches within the ACCSB framework.

204

Action learning sets in local government: working together to solve wicked problems

This paper describes an action learning (AL) set located within local government in New South Wales. The outcomes of the set were viewed through a continuous improvement (CI) lens to determine if an AL set could be used to augment the traditional problem-solving tools of CI. The researchers provide background to the set, description of the processes used and interview questions in the set follow-up along with results, conclusions and an agenda for future research.

205

Attitudes and Belief Structure in Shaping Entrepreneurial Intention: The Role of Gender and Family Entrepreneurial Background

This study intends to investigate the influence of personal attitudes, subjective norms, and entrepreneurial self-efficacy on entrepreneurial intention, and to explore how gender and family entrepreneurial background affect these antecedents. The findings, based on our surveyed data (N=319), indicate that a positive attitude towards entrepreneurship, anticipation of receiving social support and a sense of having strong entrepreneurial self-efficacy positively impact entrepreneurial intention. Male students, and those with family members having prior entrepreneurial experience demonstrated higher entrepreneurial self-efficacy and stronger positive attitudes towards entrepreneurship. The findings of this research suggest that government can stimulate entrepreneurship by patronizing educated youth through financial and policy support, which in turn may positively contribute to a country's economy.

206

How work teams understand and overcome performance pressure: A qualitative investigation

The present study explore phenomenon of how work teams understand, perceive and overcome performance pressure. The study used qualitative grounded theory approach and examined the lived-in experiences of eight project teams (sample of 42 team members and 8 team leaders) in a financial research & consultancy firm based in India catering to over 200 institutional clients globally including leading Fortune 100 companies in the investment banking and asset management sector. Data was collected using in-depth interviews and thematic analysis was done using QSR-NVivo as the qualitative data analysis tool to arrive at the dominant themes. The study offers implications for team-based organizations for improving opportunities of team member bonding as a socio-emotive mechanism of overcoming performance pressure.

209

The Effect of Inclusive Leadership on Employee Innovative Behaviour

Leaders play a pivotal role in organisations as they are responsible for decision making and creating an inclusive environment. This study investigated the effect of inclusive leadership on employee innovative behaviour through the mediating effect of perceived meaningfulness through work. We surveyed 508 Australian full-time employees and performed partial least squares structural equation modelling (PLS-SEM) to test the study hypotheses. Study results revealed the inclusive leadership has a positive and significant effect on employee innovative behaviour, explaining 31% of its variance. This association was mediated through employees' perceived meaningfulness through work. This study has important empirical and managerial implications which are outlined.

210

Are grand challenges wicked problems and why does it matter?

Grand challenge (GC) has become a common approach for allocating public research funding but is less prescriptive about how research groups should address and solve these challenges when first funded. Anecdotally, GC share similarities with a wicked problem (WP): multi-disciplinarity, complexity and multi-stakeholder engagement. Using a GC and WP analytical model, we investigate how applying a GC approach to resource allocation may lead to funding of WP and what are the implications for funded research groups. Through a qualitative content analysis, we analyse documents, websites, and reports related to New Zealand's National Science Challenges and present an integrated conceptual framework. This study contributes to the framing of GC, identifying relevant dimensions for the design of challenge-based scientific funding policy.

211

The impact of mission statement on corporate philanthropic giving: From the perspective of organizational legitimacy

Based on the theory of organizational legitimacy, this paper uses a sample of Furtune 500 enterprises published in 2016 for the period of 2007-2016, and explores the effect of mission statement on corporate philanthropic giving. The results show that the concerns of stakeholders in mission statement (MIS) is significantly positive with corporate philanthropic giving (CPG). Moreover, the state nature of ultimate owners and fierce industry competition attenuates the positive association between MIS and CPG. These results are robust to various measures of corporate philanthropy. Our study emphasizes mission statement impact on CPG and provides the references for corporate managers and government in the implementation of corporate mission statement.

212

A Study on the Relationship between Mission Statements of Food Company and Food Safety Social Responsibility

Food safety is always a big concerned question which affects the reputation of the firm. Mission statement, as a guide of the firm, can deliver what is the firm does and will do. By analysing the mission statement of the Chinese food industry, we find that firms with a mission to focus on food issues and consumers are more willing to fulfil their social responsibility for food safety. Moreover, compared with low media concerned firms, the relationship between mission statements and the implementation of food safety social responsibility of high media interested firms is stronger; compared with state-owned enterprises (SOEs), the relationship between firm mission statements of non-state-owned enterprise and the implementation of food safety social responsibility is stronger.

213

Generating industry-level commitment to the digitalisation of the healthcare supply chain: An "attention" based framework

A strong prima facie case exists for improving the healthcare supply chain via a coordinated program of digitalisation. Yet, interest and investment in this pursuit is reportedly weak in the jurisdiction we study. We identify competing healthcare delivery issues as a source of this problem. For example, decision-makers and funders focus their attention and resources on interventions that they perceive as being more directly related to improving patient safety. We draw on exploratory empirical work and "attention theory" to understand this problem. Positioning the selective attention of the healthcare sector as a dependent variable, we develop a multi-level framework that shows how the sector's attention might be harnessed, and digitalisation interventions developed.

214

The Quest for Organizational Value: A Hauntological Exploration

For decades, businesses have been haunted by questions of value, in particular in the form of return on investment (ROI). Despite continuous equivocal results the quest for ROI raises its head and demands attention frequently. In this paper we use the ghost story metaphor to illustrate some of the characteristics of this phenomenon. We then explore two different understandings of haunts and hauntology - Abraham and Torak's exploration of phantoms versus Derrida's theory of spectres – and show how both can provide explanations for the quest for ROI. We identify implications of these approaches to exploring ghostly matters like value in organizations. We provide insights for the haunted captives of the quest for ROI; change agents, managers, and academics.

215

A multilevel examination of staffing inadequacy, teamwork and turnover intentions in Aged Care

The residential aged care industry is undergoing substantial change associated with the transition from a benevolent and publicly subsidized model to a market-driven, user-pay system. This shift has seen the widespread adoption of hyper-lean (inadequate) staffing practices to minimize the operational costs for aged care facilities.

The paper utilizes multilevel statistical analysis to examine the impact of staffing inadequacy on teamwork, employee wellbeing and turnover intention using data from 542 employees and 34 managers.

The results show significant links between staffing inadequacy and lower perceptions of teamwork, wellbeing and higher intentions to leave. The research shows that hyper-lean staffing models in aged care detract from teamwork, wellbeing and retention of staff.

216

Unpinning Employee Wellbeing: Does emotional contagion compromise the impact of personal and organizational support for healthcare professionals working in public, FP and NFP settings?

This paper compares the extent to which emotional contagion moderates the links between supervisor - employee relationships (LMX) and Psychological Capital on the wellbeing of healthcare professionals working across public, NFP and FP using Conservation of Resources theory.

SEM and ANOVAs were used to test survey data collected at two points in time from 240 US doctors, nurses and allied health.

The findings provide insight into why professionals, who undertake emotional labour, have a high incidence of lower wellbeing and increased burnout rates. Traditional bureaucratic rationalist management models are inappropriate for managing those who have high emotional contagion and/or undertake emotional labour. Instead, new management models are needed that focus on providing greater organizational support.

217

Public sector entrepreneurship, collaboration and integration: the case of nurses and pharmacists in New Zealand primary healthcare

This study explores nurses' views around whether they see community pharmacists as "entrepreneurial", and what this might mean for integration. Pharmacists are expected to fully integrate with their colleagues under the New Zealand Primary Health Care Strategy. There is a scarce literature that looks at teamwork and integration through an entrepreneurial identity lens and this is particularly important since community pharmacies are small businesses in New Zealand. Eighteen semi-structured interviews were conducted with nurses from primary care and professional bodies. Three key themes emerged through analysis; the entrepreneurial profile, pharmacy profession as entrepreneurial, and valuing community pharmacists. This paper contributes to academic literature but will also increase awareness amongst policy-makers and practitioners of what other key stakeholders think of pharmacy.

218

Climate of Silence – Voices of Transnational Academics in Australia

The academic 'marketplace' in Australia is becoming increasingly transnational with a surge in cross-border academic mobility. In the midst of this mobility, reservations around ethics, inclusion and representation of minority voices are considered central to future research around diversity and inclusion in the higher education (HE) industry. This pilot study draws on 13 semi-structured interviews with transnational academics representing six different universities across Australia. We use a narrative approach using the concepts of voice and silence as a theoretical lens. Although these results are preliminary, the study indicate that academics from transnational background believe in having voice in the workplace, often reported that they were reluctant to speak-up.

219

Indigenous exporting enterprises and trade policy: The Māori business experience

Our study seeks to shed light on how an Indigenous nation engages with world trade in light of globalisation and changing trading blocks. Within the context of Aotearoa New Zealand we examine Māori business practices and Indigenous values as they are applied in an international trade context. In particular, we examine how a Māori world view (ethics, values) impacts on the way Māori exporters view trade policy with a particular reference to free trade agreements as an important facet of trade policy. The study employs case study research with semi-structured interviews with Māori exporters and key informants. The study will contribute to the development of trade policy and to the understanding of Indigenous business practices in international trade.

222

Helping or hindering? Exploring the Managing Diversity Literature Dichotomies and Dilemmas in Practice

The managing diversity literature represents a significant body of work, which revolves largely around either a business case or social justice approach and is organised around three dilemmas: sameness and difference; group versus individual; and managing diversity initiatives as a catalyst for change versus maintaining the status quo. This paper is based on a reflexive autoethnographic study of three consultancy cases and aims to provide insights into how these research-based delineations are embodied in practice and to what extent the juxtaposition and dilemmas in the literature help or hinder managing diversity practice.

225

The effects of eco-service quality (ECOPERF) on behavioural intentions: The mediating role of perceived value and customer satisfaction

This study examined the dimensions of service quality and antecedents of behavioural intentions in the context of ecotourism in Australia. The study used an integrated approach in understanding the perception of service quality (intra-variable) as well as behavioural intentions (inter-variable) by addressing dual objectives (intra/inter-variable approach) in the same study. Data were collected from 4,571 ecotourists in Australia and analysed employing structural equation modelling (SEM). Results showed that the newly developed ECOPERF measure play a vital role in forming the perceptions of service quality for ecotourists in Australia. In addition, all three marketing constructs, service quality, perceived value and customer satisfaction, had a direct and/or indirect positive influence on behavioural intentions. These results provide useful implications for academics and practitioners.

227

Impact of Managerial Support on Employee Outcomes: Mediating Role of Work-family Conflict

This study hypothesises and tests the relationship between work-family related managerial support with affective commitment and job satisfaction and advocate that this relationship is mediated by work-family conflict. The relationships are proposed based on leader-member exchange theory. The model was inspected via structural equation modelling in AMOS. The analysis confirms the proposed relationships and mediation to be significant. The findings suggest that the enhanced work-family related managerial support will decrease the work-family conflict, eventually enhancing employees' affective commitment and job satisfaction. Future research should study the proposed model with different outcomes and in different cultural settings.

228

Pathway of New Inventions in Convergence Process: A Conceptual Study in High-Tech Industries Context

In recent years, the significance of convergence at technological and industrial level, particularly in high-tech industries is highlighted due to the rapid technological changes and developments. Although convergence process occurs sequentially from the level of technology to industry, previous literature has not adequately examined the process in dynamic perspectives. This study proposes the conceptual framework enabling researchers to examine the characteristics of the convergence process with a dynamic angle of view. The final propositions describe the characteristics of new inventions in terms of co-invention and their scientific backgrounds in convergence process.

229

Will Intent to Quit Always Make Trouble? Investigating the Roles of Strategic HRM and Meaningfulness in Work

Limited empirical research has been conducted on the mediational influence of employees' intent to quit (IQ) and strategic HRM (SHRM) to examine meaningfulness in work (MW). Applying the Psychological Contract Theory, this paper examines the mediating influence of employees' IQ on the relationship between SHRM and MW. Four hypotheses were tested using data from 200 full-time Bangladeshi employees through a web-based online survey. The results indicate that SHRM has significant effects both on employees' IQ and MW, and a partial mediational impact on their relationship to each other. Moreover, the influence of employees' IQ on MW was also negative. This paper suggests that organisations aiming higher MW should encourage SHRM and improve their strategic approaches of HRM to reduce IQ.

230

The value–attitude–intention–behaviour (VAIB) model: the case of organic food in Bangladesh

The foundation of this study is the theory of planned behaviour (TPB), which has been empirically examined in organic food consumption research in various countries' contexts, however, most of those studies either examined attitude-intention or intention-behaviour relationships. In addition, there is a lack of research in the Bangladesh context, where the market for organic food items is growing. This study empirically examines the role of perceived organic food value in the attitude-intention-behaviour (VAIB) relationship of the TPB model. Data were collected from 227 Bangladeshi samples, and the VAIB model was validated through the Partial Least Squares Structural Equation Modelling (PLS-SEM) technique. The novel contribution of this study is the validation of the VAIB model in the context of Bangladesh.

231

Exploring the barriers and facilitators to social engagement within an Australian intergenerational care program

Social isolation and loneliness among the elderly is rising and becoming a global challenge. To combat this, many communities are developing intergenerational programs to bring together the young and the elderly with mutually beneficial consequences. This study explored the barriers and facilitators to engaging both older and younger participants in intergenerational prograMs Using video ethnography, five key themes emerged from the data, including the: importance of the environment, choice of activity, use of equipment, facilitator interaction and participant characteristics. Overall, intergenerational care programs were found to provide opportunities for enforcing trust, bridging relationships, reducing social isolation, and improving the health and wellbeing of participants, however careful consideration of the implementation of such a program is needed.

233

Healthcare structural reform and the performance of public hospitals: The Case of Queensland, Australia

In this study, we investigate the impact of the healthcare structural reform and hospitals' organizational characteristics on the performance of hospitals. To do so, we focus on the public hospitals in the state of Queensland, Australia, where this reform has been recently introduced. We use kernel density estimation, the adapted Li test and the two-stage DEA approach with the double-bootstrapped truncated regression to examine the relationships of interest. We find evidence that hospitals selected to adopt an Activity Based Funding model became more efficient after the reform. Moreover, teaching, large, and major city and regional hospitals are, on average and ceteris paribus, more efficient than non-teaching, small, and remote and very remote hospitals, respectively.

236

Investigating the prevalence of mixed methods research (MMR) in health management and the associated methodological challenges

An increasing interest in the pragmatic aspects of health management research demand a Mixed Methods Research (MMR) approach to assist in ensuring a deep understanding of complex research questions. However, the prevalence of MMR in academic health management journals is unknown. In order to determine prevalence, we examined 1352 empirical articles and 6% explicitly referred to a mixed methods research design. Methodologically, this paper focusses on the issues encountered in undertaking this prevalence study: (a) difficulty in determining actual research methods from an abstract, and (b) inability to weigh the actual balance of quantitative and qualitative methods in the articles assessed.

238

Authentic Leadership: A Western Notion?

This paper investigates the notion that authentic leadership theory is inherently a Western construct, imbued with a contextualized leadership ideology. Culturally endorsed implicit leadership theory suggests that authentic leadership behaviour appeals predominantly to followers with Western cultural values. Survey data are collected from 285 Australian business people using a two-wave approach and Hofstede's five dimensions of culture. The results reveal that the relationship between followers' perceptions of authentic leadership and their affect-based trust in the leader are moderated by cultural values. The positive effects on trust are stronger for followers with individualistic, masculine, and low power distance values. No significant effects are evident from followers' uncertainty avoidance or long-term orientation. The findings therefore support that authentic leadership is culturally embedded.

239

Work-life got you stressed? Try a joke: The influence of humour on work-life stress

Work-life balance is an important issue with employees experiencing ever increasing stress due to their work-life demands. While research has uncovered strategies that can be used to improve work-life balance, limited research has examined what can be done to mitigate the stress experienced when employees face a lack of work-life balance. Using Lazarus and Folkman's transactional theory of stress as an overarching model and benign violation theory of humour we examine whether humour can reduce work-life stress. Findings from an experiment (N=96) and a field study (N=404) show that humour helps reduce stress levels. More importantly findings show that humour's effect on stress levels is mediated by how employees think about their work-life balance. Practical implications are discussed.

24

The Influence of Entrepreneurial Intention on Aspiring Entrepreneurs' Opportunity Recognition: The Roles of Career Optimism and Career Goal-Setting

Entrepreneurial opportunities are very important in the decisions people make to choose entrepreneurship as their career. This makes one's ability to recognize entrepreneurial opportunities very important. The current study explored the influence of entrepreneurial intention on opportunity recognition. We conducted a two-wave study among 283 aspiring entrepreneurs in Ghana. We proposed and found that entrepreneurial intention had a positive relationship with aspiring entrepreneurs' opportunity recognition. We also found that both career optimism and career goal-setting mediated the positive relationship of entrepreneurial intention on opportunity recognition. Again, we found that confidence in venture creation played an interesting moderating role. Theoretical and practical implications are discussed.

240

What impacts Macroeconomic Performance with regard to Sustainable Development? A study of SAARC countries

This study aims to investigate the impact of various sustainable development indicators, social development indicators and macroeconomic indicators on the economic growth in SAARC countries using various econometric methodologies. The panel mode was used taking the period 1990-2017. From the results of the study, a number of recommendations are provided for investigated countries. Our findings suggest that governments, international cooperation agencies and associated bodies must promote gross capital formation, HDI, labour force and literacy rate to attain economic development in the long-run and at the same time dissuade carbon emissions, ecological footprint, and income inequality while matching the energy consumption with the bio-capacity of each economy.

241

How a firm's dominant logic affects dynamic capability deployment: the context of exploration and exploitation

While firms vary in their focus on exploration and exploitation, we do not understand how this affects their deployment of dynamic capabilities. We put forward a set of propositions to explain how a firm's exploration-oriented and exploitation-oriented dominant logics influence its deployment of dynamic capabilities. Specifically, we distinguish between the effectiveness and efficiency of dynamic capability deployment and outline how these two dominant logics affect the quality and speed as well as costs of this deployment. Furthermore, we clarify that the marginal impact that these two dominant logics have grows the more strongly these dominant logics prevail within a firm.

242

The Face Value of a Venture: How Entrepreneur Facial Characteristics Influence Investor Decisions

Recent psychological studies have found that people form first impressions from facial characteristics such as trustworthiness or competence and that these social judgments influence a variety of business decisions. However, little research has focused on the important role of facial characteristics during the initial interactions between investors and entrepreneurs. The current study examines how an entrepreneur's facial characteristics influence investors' funding decisions. We develop a conceptual model and conduct a study using student participants in a university investment context and explore the underlying psychological process. We find that the face of the entrepreneur impacts the evaluation of the project proposed by the entrepreneur, and this effect is mediated by anticipated risks.

243

Drivers and Barriers to Digital Transformation in Agri-Food Supply Chains

Digital technologies are reshaping the way various industries perform, albeit their adoption is still at infancy in agri-food supply chains. While understanding of drivers and barriers to technologies adoption (digital transformation) could support investment decisions, the extant research on the topic is quite scant. This research explores some of the key drivers and barriers intertwined in the digital transformation of agri-food supply chains through 30 semi-structured interviews with firm-managers in the Australian Citrus Industry. The findings reveal that intent to information sharing, e-value chain creation, cost optimisation and supply-demand alignment are currently drivers, while financial constraint, organisational inertia and lack of resource sharing are critical barriers to digital transformation. A number of theoretical and practical contributions and future research avenues have been identified.

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Proactive career behavior and career success: The mediation and moderating effects of taking charge and protean career attitude

We theorized the mechanisms by which proactive career behaviour is associated with career success. Especially, we built a conceptual model that depicts portraits proactive career behaviour as evoking taking charge behaviour which, in turn, is positively connected with career self-efficacy. Additionally, we conceptualized proactive career attitude as a moderator of the relationship between career self-efficacy and taking charge. Altogether, self-efficacy and taking charge are mediators of the relationship between and proactive career behaviour and career success. We plan to collect data with a survey from 350 employees to test the relationship between the proposed relationships on our model. The theoretical and practical implications of our study is discussed.

245

Employee Perceptions of Corporate Ethical Values: Effects on Person-Organisation Fit, Alienation from Work, and Job Satisfaction

This study examines the complex relationship between corporate ethical values and employee outcomes. We adopt the cognitive appraisal theory by focusing on person-organisation fit and alienation from work as the underlying mechanisms through which employees assess their job situation resulting in job satisfaction. Using a sample of 213 employees, we tested the research model through partial least squares structural equation modelling (PLS-SEM). Results show that corporate ethical values contributed to 65% of variation in employee job satisfaction, and the association was mediated by person-organisation fit, and sequentially via person-organisation fit and alienation from work. Findings suggest that congruity between employees' values and their organisation's ethical values leads to greater fit with the organisation, resulting in higher job satisfaction.

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Does crime pay? The costs and benefits of associating with a fraudster: Evidence from citation rates of the coauthors of academic fraud Diederik Stapel

The questions of whether crime pays, and to whom, have long fascinated scholars of misconduct, yet we still lack empirical evidence that could provide compelling answers to them. In this paper, we explore how those who associate with a fraudster benefit and suffer from that association. We predict that individuals who associate with a fraudster experience both positive and negative outcomes over the lifecycle of the fraud, but that these benefits and costs differ as a function of their individual characteristics. We test these predictions by examining the case of academic fraud Diederik Stapel, and by measuring the consequences experienced by the individuals with co-authored with him throughout his career, both prior to and following the discovery of his fraud.

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Performance shortfalls and board political capital building: A behavioural model of director selection

While research typically emphasizes the role of board capital in mitigating uncertainty, we argue that board political capital per se could be a source of uncertainty. Drawing on the behavioural theory of the firm (BTOF), this study theorizes board political capital building as a form of problemistic search in response to performance shortfalls – pursuing potential gains while taking the associated risks. In the context of director selection, we propose that firms performing below aspirations are more inclined to appoint new independent directors (IDs) with political backgrounds (PBs). Based on director selection data on 897 Chinese listed manufacturing firms from 2008 to 2013, we find support for this argument, which is contingent on the identity of dominant coalitions and regional market institutions. Our study advances the director selection literature by offering the new insight that director selection decisions may not be made simply based on the anticipated functional benefits from candidates; instead, our theory and findings suggest that such decisions represent a balance between prospective benefits and potential side effects. Additionally, this study contributes to the BTOF literature by extending the problemistic search logic to the political strategy domain.

250

Curiosity: The vital ingredient to expatriate success

Scholars and organisations have recognised and invoked personal selection criteria to answer a broad range of questions concerning expatriate success. Seeking to advance theory on expatriate success and its utility for organisations, we synthesise literature on expatriate success and curiosity and develop a theoretical perspective on how curiosity, as a so far hardly considered factor, might positively affect the various dimensions of expatriate success.

251

The Caste System: Implications of an Informal Institution for MNEs

Organizational scholarship has devoted considerable attention to diversity research like race, class and gender. However, sparse research has considered caste and its effects on organizations and the individuals within them, especially when organizations like MNEs operate in and originate from South Asia where caste is a pervasive institution. We conceptualize the caste system as a social informal institution that influences economic action in contemporary South Asia. We then discuss the effect of caste on MNEs operating in South Asia, focusing on human resource practices for illustration. Further, our framework paves the way for future research to elaborate on the effects of caste on these MNEs.

253

Improving through partnership: How protected relational space produces informal accountability for inter-organisational learning and a culture of continuous improvement

Improving through partnership depends on the creation of relationships built on trust and mutual respect rather than hierarchy. Developing a culture of continuous improvement in the NHS requires attention to the promotion of inter-organisational learning. In this article we illustrate that such learning is a social and relational phenomenon, which can be fostered through frank and honest dialogue even if, in other contexts, one party—in this case a healthcare regulator—holds power over other partners in their formal relationship.

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Machiavellianism, Abusive Supervision, Job Burnout and Task Performance: A Cross-level Dyadic Sequential Analysis

This study examines the deleterious impact of Machiavellianism (Mach) and abusive supervision on job burnout and task performance. We test a model on the sequential mediating effects of abusive supervision and job burnout on the Mach-task performance relationship. We hypothesize that Mach negatively influences task performance through group-level perceptions of abusive supervision, which in turn affect individual-level burnout. We employ supervisor-subordinate dyads using data collected from 250 participants in 50 work units. Findings reveal that Mach negatively affects task performance ratings. Furthermore, results support the sequential mediating effects of group-level perceptions of abusive supervision and individual-level burnout. This research offers insights on the factors that can affect task performance ratings, which has important practical implications for human resource management.

259

'A manifest absurdity'? Problematising the genesis and ethos of the field of English wine production.

This paper problematises the historical development of the field of English wine production by situating and conceptualising the roles played by historically-identifiable individuals, who, starting in the 1940s, contributed to the genesis and development of what is now a distinct, established field position, that of 'English wine'.

Methodologically, our approach draws on recent work on Bourdieu and historiography to show how succeeding waves of 'cultural capitalists' entered the field, contributing to the formation of an economy of symbolic goods in which the enduring ethos is a rejection of the economic imperative. Our contribution to show that wine-making in England can best be conceptualised and understood as a field of cultural production.

260

Evaluation Framework for Tourism Leadership Development Programs

This study reports on the development and application of an evaluation framework designed to guide the assessment of leadership and leadership programs in the tourism field. The framework was applied to a tourism leadership program in Australia. It focused on the context of the visitor economy, relevant leadership models, training approaches, and program outcomes. The findings from this study present evidence that contributes to management education. The study used a mixed-methods approach that included an analysis of secondary data from 182 program participants, analysis of a survey of 45 program participants, and in-depth interviews of 21 program stakeholders. The findings suggest that the evaluation framework offers effective guidance to stakeholders who design, manage, deliver or use leadership programs in tourism.

261

Worker Voice and Silence in Platform Capitalism: A case-study of UK food couriers.

This working paper explores workers' self-initiated voice as a reaction to managerial driven silence in platform capitalism. The concepts of 'worker silence' and 'worker voice' are used as they can facilitate an understanding of the way in which workers respond to workplace problems, as well as their capacity to respond within this specific context (Good & Cooper, 2014). In this paper we examine when and how food couriers in a British city exercise voice within platform capitalism as a reaction to managerial driven silence. Under what conditions would such workers initiate and create voice mechanisms as a reaction to managerial silencing, and what might the impact be on their working conditions and relationships with the organisation?

264

How experiential learning can develop leadership capability in humanitarian leaders

The humanitarian sector is an important but neglected area of leadership development theory and practice. Disaster and conflict situations are 'wicked' problems growing in size and nature requiring sophisticated leadership intervention. This paper explores the extent to which an experiential learning-based disaster simulation delivers a leadership development programme's objectives to the field. Employing a mixed methods approach, data from a survey followed up by in-depth interviews asked participants the extent to which learning outcomes were applied in practice. The study finds disaster simulations are effective in delivering learning development outcomes. Specifically, two out of three of Day and Harrisons' (2007) criteria for successful outcomes of leadership development programmes were achieved. The application of disaster simulations for other sectors is discussed.

265

How different faces of paternalistic leadership influence employees innovative behavior: a serial mediation approach.

The purpose of this research was to examine the relationship between paternalistic leadership and innovative behaviour through a leader-member exchange (LMX) and employee voice behaviour. The data were collected from 397 employees. Structural equation modelling was utilized to test the proposed hypotheses. The research suggests that all 3 dimensions of paternalistic leadership have a positive influence on LMX, and LMX has a significant impact on employee voice behaviour, allowing employees to freely voice their opinions. Furthermore, voice has a positive relationship with innovative behaviour. Moreover, findings indicate that LMX mediates the relationship between paternalistic leadership styles and employee voice. Employees perform well when their leaders practice moral and benevolent leadership rather than authoritarian leadership.

266

Organising food systems through ecologies of care

We propose a conceptual framework based on ecologies of care to examine how local food systems can flourish, become more resilient, and provide healthier food to enhance well-being. The concept of ecologies of care brings together theoretical understandings of relationality, ecology, and care; hence, we examine how food production is underpinned by interdependent webs of relationships (whānaungatanga), stewardship (kaitiakitanga), and care and support (manaakitanga) with healthy land and healthy people at the core of organising and governance.

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"The wicked problem of climate change and interdisciplinary research: Tracking management scholarship's contribution"

Climate change represents a "wicked problem par excellence". Since it pervades numerous natural systems and social communities, an understanding of climate change requires interdisciplinary research, broadly defined as research crossing disciplinary boundaries. In this investigation we map the evolution of interdisciplinarity in climate change research using bibliometric data and methods. We pay special attention to the contribution of the social sciences in general, and the discipline of management in particular. Our findings suggest that (1) while interdisciplinarity has grown somewhat over 37 years of climate change research (1980-2017), the contribution from the social sciences remains very modest; (2) management research is trailing many other social science disciplines in contributing to climate change research.

268

Promoting effective Māori leadership and decision making for prosperous economies of wellbeing

This paper presents findings from research focussing on Māori leadership in Aotearoa New Zealand. The overarching research questions informing this project are: What are the distinctive dimensions and drivers of innovative Māori leadership and integrated decision making?; How do these characteristics deliver pluralistic outcomes that advance transformative and prosperous Māori economies of wellbeing? The study is underpinned by a Kaupapa Māori ontology, epistemology and methodology, a research paradigm founded on principles of empowerment for, with and by Māori. We report on a quantitative survey, many of the respondents were highly educated Māori women, who already are, or will be, leaders in Māori communities and organisations. The research provides insights into their perceptions of Māori leadership, decision-making, economies and well-being.

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Expatriate Managers from HQ in Foreign Subsidiaries in Times of Change

This paper argues and investigates the positive impact of expatriates from HQ on subsidiary performance in China. Using regression analysis to examine data from the Chinese subsidiaries of multinational enterprises (MNEs) we found that having expatriates from HQ on the top management team increased subsidiary performance when subsidiaries restructured i.e. restructuring moderated a positive effect of HQ expats on performance. The findings indicate that restructuring activities present an opportunity to leverage expatriate talent in Chinese subsidiaries, which has implications for when expatriates might be deployed in foreign subsidiaries. Through its focus on subsidiary performance, this paper makes an important contribution to the expatriation literature, which seeks now more than ever, to demonstrate the organisational value of expatriation.

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Nurturing engineering professionals' care focused values through sustainability focused engineering: A path to gender inclusive work culture

Nurturing a gender inclusive work culture has become a major concern for many types of engineering industries around the world. Emerging literature of inclusion has suggested that, any work culture requires its members to embrace care focused moral values in their day to day relationships at work. The main focus of this paper is to conceptualise how engineering professionals' sustainability focused work ideologies could use as an approach to instil these essential moral values in the context of construction engineering. In this paper we combine the literature from gender, inclusion, care ethics and moral values to highlight how the connection between sustainability focused work ideologies and care focused thinking can lead engineering organisations from being gendered to gender inclusive.

271

Intersectionality in critical entrepreneurship studies

Entrepreneurship has sustained interest as a rich field of potential research in the academy. Critical scholars in the field situate entrepreneurial experience within larger interdisciplinary considerations of structural inequality. Intersectional analysis identifies the complexity of the ways societal oppressions connect and overlap, contributing to a body of critical work across disciplines. Motivated by the work of Black feminism and feminisms of colour, intersectionality seeks to centre marginalised groups to allow for a nuanced understanding of the ways in which multiple forms of oppression are experienced.

This project seeks to illuminate the lived experience of marginalised entrepreneurs. My project will extend existing critical work by offering an intersectional approach, building understandings of entrepreneurship from the margins to the centre.

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Culturally diverse legal professionals in Australia: Examining career barriers experienced by legal professionals with an Asian cultural background

Despite the increased numbers of culturally diverse legal professionals in Australia over the course of recent decades, barriers into leadership positions persist. Culturally diverse legal professionals continue to be significantly under-represented on the partnership level in law firms, at the Bar and the Judiciary. This study explores the career enabling and constraining structures that legal professionals with an Asian cultural background (LPACB) experience in progressing their career. Based on 65 LPACB in-depth interviews, the study identified five mechanisms that shape career enablers and barriers. They are business development requirement, demonstrating dedication, opaque promotion process, informal work allocation process, and an assimilationist culture. The findings revealed these mechanisms disadvantaged culturally diverse legal professionals.

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Who cares?: An outline of the methodology and methods exploring meaningful consumer engagement in an Australian context.

In this era of changing demands of an ageing population and increased expectations of the acute public health system in Australia, there has been a push for a higher level of consumer engagement to improve systems (Australian Commission on Safety and Quality in Health Care, 2014). This research aims to contribute to practice of consumer engagement through exploring what meaningful engagement looks like as it relates to consumer representatives in a health care setting and specifically those that form part of the membership of health service management groups and committees. The researcher postulates that what consumers and organisations require to improve social capital is improved social exchange.

275

The Hardest Part of My Job is to Say 'No' To Volunteers: An Exemplary Model of Volunteer Management Within A Food Rescue Organisation

Whilst most not for profit organisations are struggling to attract, train, utilise and retain their volunteering workforce, there are some organisations having the opposite problem—a surplus of volunteering labour that they have to say 'No' to. This paper deploys an exploratory case study approach in investigating the volunteer management processes of an Australian food rescue organisation and discovers that its success is largely attributable to its social enterprise model of volunteer management. This study is the first to provide empirical evidence of a social enterprise model. It advances the volunteer management literature by extending the theoretical model, uncovering additional employee dimensions and identifying its major challenges.

278

Factors Affecting the Employee-Turnover Rate in the Garment Industry of Bangladesh: Some Organization-level Evidence

This paper uses primary data, obtained from a firm-level survey conducted of eight garment factories in Bangladesh, to identify the key factors that may explain the variation in the employee-turnover rate at the firm-level in a developing country. The key issue investigated in the study is whether the factors that explain the turnover rates in the matured industries of advanced economies remain valid for explaining the turnover rates in the nascent firms of emerging industry. One plausible reason why there could be marked differences in the turnover rates is the high incidence of unemployment constrains the employees to search for better employment opportunities. Consequently, job mobility in many industries could be limited, giving the impression that job-mobility in developing countries is unresponsive to human-resource policies, practices and safety-security concerns.

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The work orientation of highly-experienced allied health professionals: An emergent typology

Highly experienced healthcare professionals can contribute knowledge, skills and experience that benefit patients, and the capacity development of junior staff. Existing literature provides a limited perspective on the work orientation of highly experienced allied health professionals. Focusing on experienced health practitioners, we report on interviews with practitioners with at least seven years of professional experience from different professions and across organisational sectors. Transcripts were coded iteratively and categorised according to an evolving typology. Our findings highlight the diversity of these highly experienced allied health professionals, regarding their work orientation and their relationship to their profession. A conceptual typology of the highly experienced allied health workforce across two dimensions is described, which differs substantially from a traditional view of work orientation.

28

Young but Reputable: How Can Young Firms Build Corporate Reputation through Corporate Communications? A Choice-Based Approach

Building corporate reputation among potential customers is a key management objective of entrepreneurs. Although academic literature offers several approaches for mature and established firms, there is a lack of insights on how young firms can establish a favourable reputation. This study examines which corporate attributes are most diagnostic for customers' evaluation of a young firm's competence and likeability. We apply a two-step approach and identify the seven most relevant attributes before analysing their importance for customers' evaluations. The analyses show that in terms of competence, the attributes quality of products and services, value for money and reliable business partner for customers are the major factors responsible for good customer evaluations, while social consciousness and openness drive likeability.

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Gender diversity and corporate risk-taking: Do women directors reduce corporate risk?

Extant literature from psychology and economics suggests that women are more risk-averse compared to men. Do firms reduce risk when their boards are run by both men and women? The objective of this paper is to examine the association between gender diversity and corporate risk. For a sample of non-financial firms from 2011 to 2018 from the ASX300 Index, initial investigation employing ordinary least squares (OLS) and panel fixed effects methods (FE) yield mixed findings. Further examination employing Generalised Method of Moments (GMM) finds that gender diversity has no significant association with corporate risk. These findings suggest that even though women tend to be risk-averse in general their role on corporate boards do not reduce risk-taking in Australian firMs

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Reality TV and entrepreneurial landscape: A systematic literature review

This paper systematically reviews literature on the use of reality TV data in entrepreneurship. We found that reality TV data is used to: a) explore business start-up and emergence of different types of enterprises, b) explore entrepreneurial/workplace issues, c) teach and learn entrepreneurial processes, and d) examine changes in market/customer perceptions. Hence, beyond entertainment, dramatizations and exaggerations associated with reality TV, it has some educational and research value. It also shapes entrepreneurial landscape in more subtle ways. Therefore, this paper contributes by outlining the various uses of reality TV data, themes and areas of research, and future research directions.

288

The mechanisms through which ethical leadership influence employee in-role performance

In modern business, interest in leaders' ethical behaviours in organisations has been growing. Ethical leadership by top management is a critical because unethical leadership has been shown to negatively influence employee attitudes, behaviours and subsequent performance. This study explores the boundary factors in the relationship between ethical leadership and employee performance. This study used a quantitative approach based on a survey of 233 Australian banking employees. Research hypotheses were developed based on the literature review and tested using OLS regression. Findings revealed that ethical leadership had a significant influence on employee in-role performance. Organisational identification, service climate and ethical climate were all found to positively mediate such relationship.

289

The Importance of Service Performance for the Development of Residential Housing in New Zealand

This study observes the impacts of determinants of homeownership and service excellence in determining house purchase decisions and evaluating post-purchase satisfaction for homeowners in New Zealand. The quantitative analysis were used based on the 414 questionnaires were returned. The results of the multiple regression analysis shows that house quality and reliable services significantly influence the customer purchase decision. The critical implication of this study is the satisfactory performance of the house builder leads to retaining a pleasant relationship with the homeowner. It implies to the precise homeowner purchase decision and improve the business opportunity for house builder. The ultimate contribution of this paper is the finding of the critical factor for determinants of homeownership and service excellence.

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Feeling exposed in open plan work environments – More than just the "male gaze"

In spite of findings that open-plan office environments are associated with worsened wellbeing (Richardson, Potter, & Paterson, 2017) and of "gendered" consequences to the increased visibility in open-plan spaces (Hirst & Schwabenland, 2018), the relentless move towards shared office environments continues - a wicked problem. This paper describes a finding that emerged in a study investigating performance and wellbeing in an open-plan law firm. Although occupants generally liked this work environment, there was a gender difference in the responses, where all of the survey respondents who specifically mentioned being "watched", "observed"," exposed", or "more accountable" were women. The notion that female and male employees differ in their perceptions of being observed should be acknowledged and incorporated into office design.

291

Measuring resilience-enabling leadership

This study is focused on leadership and employee resilience in the public sector. It presents a scale for resilience-enabling leadership. This scale was developed using an inductive approach, consisting of a series of interviews, and expert consultations. Findings show that leadership centred around growth, trust, and collaborative behaviours foster resilience in employees. A three-factor, 15-item item scale is presented as a result of quantitative testing of the measure in a large survey of New Zealand public servants.

293

The Digital Entrepreneur -Toward a Definition

At the intersection of technology-enabled entrepreneurship and the changing world of work, a new breed of entrepreneur is emerging with varying degrees of flexibility over how, when and where they work. Despite many researchers believing that consensus is required to advance the field's contribution to economic development, there is no widely accepted definition of the term Digital Entrepreneur (DE). This paper explores the emerging findings that form part of a qualitative doctoral research project on the motivations of DEs. Drawing on both research participants' perspectives and nascent literature on the subject, the paper establishes a working definition of the term 'digital entrepreneur', taking into consideration aspects of innovation, the digital nature of the business, degree of mobility, and business creation.

296

Real World Exposure: Interpersonal Skills Development and Simulation in an MBA Financial Analytics Course

In today's business environment, wherein collaborative effort is essential for sustained competitiveness, there is a strong requirement for effective interpersonal skills as well as technical skills. Despite recognition of the importance of interpersonal skills by education, business and government stakeholders, this skillset is substantially underrepresented in MBA prograMs The current research aims to introduce and test the effectiveness of an experiential simulation named 'Practice Aspects of Management' incorporated into an MBA Program with the aim of interpersonal skill development. Following the science of training and Bedwell and colleagues stepping stones for interpersonal skill integration into existing MBA courses we outline how we are attempting to close the interpersonal skills gap in our MBA students.

297

Wicked Solutions to Wicked Problems: What Value are Western Theories in Developing Countries?

The incidence and determinants of labour turnover have been popular research topics for nearly a century and have produced a huge literature. Despite this longevity and bulk, little attention has been focused on developing countries. Rather, almost all empirical studies have been used data from developed Western countries (especially the USA and UK), producing an increasingly sophisticated body of findings and theory. This paper questions the applicability of this theory to the context of developing countries, using the readymade garment (RMG) industry in Bangladesh as an example.

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Indigenous Ethics - Insider, Outsider, Spaces In-between: Reflections From Both Sides Of The Boundary

Two Aboriginal Australians, one a Gunditjmara Associate Supervisor, the other a Yawuru doctoral candidate and a kartiya (non-Indigenous) Chief Supervisor reflect on their recent experiences in developing an Aboriginal research project utilising Indigenous Standpoint Theory within an Australian tertiary education environment. The authors reflect on their experiences of the ethics processes, identify an alternative ethics way of knowing, being and doing. While the supervisory team has worked productively with the student some of the university structures particularly ethics presents impediments fuelled by a misunderstanding of Indigenous Knowledges and Indigenous Standpoint Theory.

299

Health consumers' social media adoption behaviours: evidence from Australia

Social media is contributing to the beginning of a paradigm shift emerging in the healthcare sector. Despite social media's growing popularity, empirical research on the social media adoption behaviours of health consumers is limited. Using the Technology Acceptance Framework, this research investigates the underlying drivers affecting health consumers' social media usage and acceptance behaviours. A cross-sectional survey of 265 health consumers was conducted. Findings reveal that perceived ease of use, information quality, privacy threats, social influence and self-efficacy influence health consumers' social media adoption behaviours. The study shows there is a promising future for social media applications in healthcare. Health service providers need to be proactive in promoting social to harness potential benefits of social media usage.

30

HRM systems, practices, and employee commitment: The role of employee gender

Despite decades of studies on high-involvement human resource management (HRM) systems, questions remain of whether high-involvement HRM systems can increase the commitment of socially disadvantaged demographic groups. This study contributes to the growing body of research on the cross-level effect of HRM systems and practices on employee affective commitment by considering the moderating role of gender. Integrating social exchange theory with gender role theory, this paper proposes that gender responses to HRM practices can be different. The hypotheses were tested using data from 104 small and medium-sized retail enterprises and 6,320 employees from Spain. The findings suggest that a high-involvement HRM system can promote the affective commitment of socially disadvantaged demographic groups like women.

300

Influence of Time Pacing Styles Congruence on Individuals' Performance, Wellbeing, and Turnover Intentions

We studied the congruence of time pacing styles of individuals and their supervisors and organizations. Using 30 interviews with IT professionals in Pakistan, we studied how the congruence or incongruence on time pacing styles influence individuals' performance, wellbeing, and turnover intentions. We found that in cases of congruence, an individual's performance and wellbeing tend to increase and the individual's turnover intentions tend to decrease. In cases of incongruence, individuals feel that supervisors do not trust their working style and feel frustrated which negatively influences their performance, wellbeing, and turnover intentions. Also, individuals tend to adjust their styles in cases of incongruence through a dynamic process. We outline both practical and theoretical contributions of our work.

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Differential Effects of External Collaborations on Innovation Performance

Innovation literature identifies the importance of collaborations among employees of small and medium enterprises (SME) and external networks that bring in knowledge and information benefiting their attempts to create innovations. Small businesses with 5-20 employees have far fewer resources compared to mid-size businesses conventionally identified together with small businesses in the category of SMEs. The study investigates the influence of external collaborations and internal employee collaboration on innovation performance of small businesses. Based on an empirical study with small businesses in Australia, it finds that vertical collaborations with clients and suppliers do not demonstrate any significant impact on innovation performance. It is argued that horizontal linkages have a higher level of importance compared to employee collaboration in driving innovation performance.

303

Rethinking Fast: Fast Fashion, Slow Fashion

Today, fast fashion retailers not only transform the way we dress, they also transform the way that we shop. Despite there being a rise in academic studies in consumer behaviour relating to apparel generally, the literature has not focussed on the importance of looking into the context of fast fashion versus slow fashion consumers. This study examined if fast fashion consumers and slow fashion consumers differ in their characteristics and consumer decision-making process. A self-administered online survey was conducted with a national sample of 380 Australian female consumers. Results indicated that hedonic motivated fast fashion consumers and utilitarian motivated slow fashion consumers behave differently over the decision-making process in purchasing fashion.

304

Exploring brilliance in renal care through co-discovery

This paper describes how Discovery Interviews (DIs) were used with healthcare practitioners in Australia for the purpose of discovering what makes their service brilliant. It eschews the patient/carer journey approach, and the negativity so often found in healthcare studies, and focuses on positivity and staff DIs. Using a positive organisational scholarship in healthcare (POSH) perspective, we explore service brilliance of the Regional Dialysis Centre- Blacktown (RDC-B) which has been described by a number of sources as being a brilliant service. We discuss the significance of the study, how it emerged, the unique positive perspective, and building co-discovery strategies to include practitioners in the study. This is the first of a two-part study focussed on user-experiences.

305

Wicked Nuances: Cross-level Values, Relationship Conflict and Trust in Teams

This study aims to investigate the bottom-up effects of how individual values (self-direction and benevolence) influence team values (team orientation), and how team values influence relationship conflict (RC) and team trust. Our findings extend prior research to show that despite values incompatibility (i.e. self-direction and team orientation), the cross-level effects of individual self-direction on team values showed a positive association. In addition, our findings also showed that RC was negatively associated with identification-based trust (IBT), and RC mediates the relationship between team orientation and IBT. Overall our study has important managerial implications on how managers can engage specific individual values as means to facilitate team values. Our findings also highlight the importance building trust in the face of RC.

306

Implementation of innovations in hotels and restaurants and the subsequent impact: a systematic literature review

This article systematically reviews literature on the implementation of innovations and its subsequent impact within the hotel and restaurant sector. There is a lack of similar review on innovations concerning these business sectors and this article fills the research gap. A search on academic databases and careful assessment through selective sampling revealed 11 types of innovations were implemented in the hotel and restaurant sector. The review also identified how certain innovative activities influenced the performance and operations of hotels and restaurants. Management innovation, administration innovation, and information technology innovation were found to be the most productive innovations. The study adds new insights into the existing literature and will be useful for decision-makers, researchers and scholars, and governments.

307

Team conflict and team performance: The moderating impact of team temporal leadership

Drawing on path goal theory of leadership, the paper proposes that team temporal leadership can assist teams to reduce conflict situations and avoid further incidents over time. It is argued that the effects of task and relationship conflicts on team performance are moderated by team temporal leadership. A two-wave multi-source survey was conducted, using a sample of 196 leaders and 873 subordinates from manufacturing companies in Sri Lanka. The results revealed the moderating effects of team temporal leadership between task and relationship conflicts and team performance. It extends the past research on path goal theory indicating that the intensity of task conflict among members corresponds to the extent of interaction between them, providing new insights to the managerial implications.

31

Governments need to be wicked for infrastructure investments to be worthwhile

The United Nations Sustainable Development Goals 9 and 11 focus upon the requisite infrastructure to support the forecasted substantial global population increase and trend towards urban living. In the next 10 years infrastructure investment in Australia is projected to be Au$109billion and in New Zealand Au$121billion. A fundamental for economic performance is that the investment provides financial and/or social benefits that are commensurate with cost. However, the construction industry has lamentable productivity performance. The underperformance is asserted to be due to a cyclic industry, fragmentation and transient project partnerships. The result being poor cost management, scope variances and administrative overheads. Governments need to have longer project planning horizons, long-term public private partnerships and enforce standards for materials, processes and information.

310

R&D Alliance Portfolio and Innovation in Emerging Markets: The Role of Business Group Affiliation and Institutional Reforms

In this study, we examine the effects of R&D alliance portfolio (AP) size on innovation performance in an emerging market. Drawing on institutional perspective, we argue that the relationship between R&D AP size and innovation performance is positively moderated by business group affiliation (BGA), which helps affiliated firms address the concerns of non-existent or malfunctioning market institutions in emerging markets. Further, we suggest that the moderation effect of BGA becomes less pronounced with institutional reforMs Empirical analyses conducted on a sample of 185 firms from Indian high-tech sectors support our arguments. Our study contributes to the AP literature by emphasizing how the relationship between R&D AP and innovation performance is contingent on the institutional context.

311

Understanding Service Convenience in Brick-and-Mortar Retail Formats in China

This study examined service convenience in brick-and-mortar retail formats in China. A cross-sectional study of shoppers in department stores and supermarkets was conducted in Tianjin. The study tested the impact of the five service convenience dimensions on outcome variables such as perceived value and customer loyalty. In department stores, perceived value was predicted by decision, benefit, transaction and access convenience, but for supermarkets, decision and post purchase convenience were significant. In predicting customer loyalty, decision, post purchase and transaction convenience were significant in department stores, while decision and access convenience emerged as important contributors in supermarkets. The findings showed that shoppers seek different retail experiences in each format. The paper discusses the implications and concludes with future research directions.

312

Volunteers as Agents of Social Change: Evidence from Australian Food Rescue Industry

Despite the consensus that volunteers play an increasingly important role in social development, the role volunteers can play in social change has received limited research attention. Drawing from volunteer management and social innovation literature, this paper explores if and how volunteers can be agents of social change. Adopting a qualitative case study approach, we conducted interviews and focus groups, participant observations, and secondary data analysis to capture volunteer management processes and experience at an Australian food rescue organisation. Thematic analysis of data revealed four distinct types of volunteers: personal gain, strengthening teams, giving to those in need, and becoming as advocate. Our findings make significant contributions to theory and practice eliciting how volunteers can create and sustain effective social change.

313

Concretising Europe-Asia collaboration for sustainabilty – the development of strategy maps and sustainability scorecards

Wicked problems abound, especially those connected with Grand Challenges. Striving for sustainability, in the UN Sustainable Development Goals sense, is definitely one such category. This study explores how the ideas of strategy maps and balanced scorecards can be used to help structure the dialogue in sustainability-oriented ventures. The case explored is an emerging strategic partnership between a Western equipment manufacturer and a Southeast Asian Power Producer. The study shows how the traditional strategy map and balanced scorecard structure can be adapted to incorporate not just economic, but also social and environmental sustainability aspects. The study also illustrates the complexity of concretising sustainability aims in general, and especially in a strategic partnership setting.

314

Alliance Portfolios: Interaction Effects of Partner Type Diversity, Tie-strength and Learning Orientation

This study examines how three important alliance portfolio (AP) characteristics – partner type diversity, tie-strength, and learning orientation- interact to affect firm performance. Drawing primarily on organizational learning and coordination costs perspectives, we suggest that partner type diversity and tie-strength interact positively to affect firm performance. However, this positive interaction is more prominent for APs with exploitative learning orientation than those with exploratory learning orientation. An empirical investigation conducted on a longitudinal dataset of 164 Indian firms, for the period 2003-2014, from high-tech sectors, support our theoretical arguments. Findings of this study contribute to the alliance portfolio literature by examining how contingencies among the three key AP characteristics affect firm performance.

316

A Conceptual Model for Engaging Online MBA Students

Engaging students in an online environment presents many challenges. More so, in Master of Business Administration education due to the demanding nature of the course and the profile of the students. Whilst the challenges have been well discussed in research, little attention has been paid to the way in which to engage learners in this environment. This paper proposes a Model for MBA Student Engagement in Online Studies. The Model provides a framework for understanding the range of engagement factors that influence a student's MBA journey. The Model also considers the types of data that need to be understood in order to understand online learner behaviour and offer insights which can inform teaching pedagogy and practices.

318

Millennials in Higher Education: Do they really learn differently?

To achieve effective learning, teaching needs to be effective. Globally, educators are finding the learning profile to the present generation in higher education to be very different than to that of their predecessors. This study provides insights into the similarities and differences on four learning parameters of two generations. Millennials differ significantly from previous generation on all four parameters suggesting that classroom pedagogies require a rethink. The findings can be used to design teaching pedagogies that are likely to be more effective with millennials. The study finds that the millennials are more competitive and less trusting that their predecessor generation. The negative correlation between trust and competition in millennials will require well thought out pedagogies to achieve desired learning effectiveness.

32

A teaching and learning simulation game: Using events to stimulate sustainable destination development

The paper outlines enhancements to a sustainable tourism simulation game designed for use in undergraduate tourism and hospitality T&L. The extensions to the original game are based on student feedback and allow players to choose between different event/festival options as an engine for destination development and rejuvenation. Each event type has different economic, environmental and social impacts and factoring these into the simulation game is the focus of the extended abstract that follows.

320

Strategic Integration of CSR with The Company's Strategy and Its Effect on The Firm's Performance: Evidence from the Indonesian Manufacturing Industry

Prior studies highlight that corporate social responsibility (CSR) should be integrated into the company's strategy. Existing literature argued that integration could improve the organisation's performance. Because of limited empirical research on how CSR and company strategy can be aligned, this study aims to examine how CSR and the company's strategy are integrated at the strategic level and the impact of such integration on firm's performance. Based on a sample of 342 Indonesian manufacturing companies, we found that the alignment with the company's strategy and effective communication have a positive impact on financial and employee performance. The findings from this study provide empirical evidence of CSR practices and their impacts on firm's performance in the manufacturing industry, particularly in developing countries.

321

Agency hazards and the Firm's Networking Behavior

With few recent exceptions, the literature on inter-firms alliances and networks tends to assume the firm a frictionless body of interests. This paper examines how agency hazards, a particular form of intra-firm friction of interests between owners and managers, can influence the composition of a firm's portfolio of alliances. We argue that agency hazards drive the managers to over-engage their firm in embedded horizontal, and market-type vertical ties at the cost of under-engaging in the embedded vertical, and market-type horizontal ties. Theoretical and practical implications of our propositions will be discussed.

323

Reducing demands or optimizing demands? The effects of cognitive appraisal and job autonomy on job crafting strategies towards job demands

There are two different strategies for employees to craft their job demands: reducing demands or optimizing demands. Research has shown dysfunctional effects of reducing demands and preliminary positive effects of optimizing demands. However, little is known about when and why employees engage in reducing demands or optimizing demands. Drawing on the transactional theory of stress, we theorized the direct and interaction effects of cognitive appraisal and job autonomy on demand-related crafting. Across two scenario-based experiments, we found a main effect of cognitive appraisal on reducing demands, and a main effect of job autonomy on optimizing demands. No interaction effect was found.

324

Comparing models of follower outcomes: Constructive and destructive leader behavior

We examine the effects of constructive and destructive leader behaviour on followers when assessed concurrently. We posit that followers are acutely attuned to supervisor behaviour that deviates from the norm because it threatens valued resources (i.e., supportive work relationships). We use path analysis in a structural equation model (N = 334) to simultaneously assess the predictive strength of constructive versus destructive supervisor behaviours on follower satisfaction with leader and task proficiency. Results show that destructive supervisor behaviour has a stronger and disproportionate effect on follower outcomes. Our findings provide empirical support for the bad is stronger than good hypothesis (Baumeister, Bratslavsky, Finkenauer, & Vohs, 2001) and, relatedly, for the primacy of resource loss (Hobfoll, 2002).

326

Establishing partnerships with Indigenous Australian communities for implementing community-designed and driven education/social enterprise hubs

Innovative ways to address entrenched educational and employment disparities and stimulate job creation in rural and remote Indigenous communities is required. Post-secondary education/social enterprise hubs offer real solutions for community-based education and employment opportunities. Developing and implementing community-designed and driven education/enterprise hubs requires building partnerships through collaboration with Indigenous communities and key stakeholders. Participatory action research processes facilitate establishing partnerships, paving the way to implementation of education/enterprise hubs. This paper presents partnership building processes, including the establishment of trust, when collaborating with Indigenous communities and key stakeholders. The project aligns with Closing the Gap initiatives and the United Nations Sustainable Development Goals, particularly improving access to quality education, engaging in meaningful work and economic growth and addressing poverty.

327

Small businesses sustainability and Accounting and financial management practices: A systematic literature review

This paper systematically reviewed the literature that studies the relationship between small businesses sustainability with accounting and financial management practices (AFMP). The review covered the AFMP in small businesses and identified the keywords and searched them in search strings. The finding indicated there is a strong relationship between the AFMP and business sustainability. However, there is a lack of research that explores the role of internal factors, such as financial literacy, skills, and perception of managers in the AFMP implementation in small business, and its relationship with small business sustainability. This paper identified this gap. Future research could cover the role of internal factors in the implementation of AFMP and the impact of them on business sustainability.

331

Opening the black box of student burnout experience: how emotional exhaustion leads to reduced efficacy via students' approaches to learning

Integrating the conservation of resources theory and students' approaches to learning, we examine how emotional exhaustion feeds into a resource loss spiral that leads to reduced efficacy via its impact on students' approaches to learning. Using experiential sampling design, data were collected from first-year undergraduate students as they completed a specific learning task (i.e., tutorial participation). With 414 usable responses from 107 students, our results indicated that emotional exhaustion was negatively related to deep learning and positively related to surface learning. Deep learning was positively, while surface learning was negatively related to efficacy. We study enhances the understanding of burnout as a within-person process and pointing out how and where to intervene in order to break the downward spiral.

334

In Defence of the Familiar: Innovating in Business Schools through Slow Histories

This paper argues that the potential of histories for driving innovation in Business Schools is constrained by the corporatization of management education. Taking inspiration from the slow professor movement, we advocate a slow educational approach to history which recognizes the potential of history for inspiring and shaping academic identity. Our argument is based on reflections from our engagement with a University history hunt, undertaken within the educational framework of an Early Career Academics program at our University. We argue history can act as a strategic enabler in organizations when situated within educational programs which work against the distractions of the corporatized university by promoting reflection and engaged activity.

336

The wicked challenge of reporting against the SDGs for smaller organisations such as Sydney Theatre Company

Greening the Wharf (GTW) at Sydney Theatre Company (STC) was a major environmental sustainability project that attracted tremendous public attention in the period 2007-2011, in large part because of the celebrity of the co-artistic directors Cate Blanchett and Andrew Upton. Research conducted in 2014 and 2015 revealed that underneath the publicity, the project was highly successful and saw STC make significant changes to its operations and impacted positively on all aspects of the organisation and its culture. It also found that STC's reporting that exclusively focussed on the environmental achievements hid its broader human sustainability achievements. This paper extends the challenge of capturing STCs sustainability achievements against the United Nations Sustainable Development Goals (UN SDGs) by using the SDG Compass.

339

Mentoring in Accounting Firms in India and Malaysia - Is it Gendered?

The aim of this paper is to explore the opportunities and barriers for carrying out mentoring practices in accounting firms in India and Malaysia. The paper also further explores to understand whether or not mentoring is gendered in these country contexts. The theoretical lens used in this study relates to mentoring framework to understand the role of gender in hierarchically structured small and medium-sized accounting firMs Data obtained from conducting in-depth interviews with both male and female principals and partners working in the Indian and the Malaysian accounting practices (n = 40) and analysed using NVivo12. Findings indicate that informal mentoring support exists in accounting firms in both countries and the nature of mentoring support activities undertaken are largely gendered.

340

How Mobile Technologies Enable Process Virtualisation in Managing Farm at a Distance: Exploring Telephone farming in Kenya

The focus of this paper is to investigate how mobile technologies allow for some farm processes to be virtualised thus allowing farm management from a distance. This research examines the activities of telephone farmers in Kenya who use mobile technologies to farm at a distance. Drawing upon previous scholarship concerning affordances, this paper explores the role of four criteria in considering process virtualisation in farming. Preliminary findings identifies two strategies of management at distance in farm enterprises: team virtuality and co-presence virtuality. Process virtualisation in farming has the potential to deliver multiple benefits including: enhanced farm output and efficiency which can then lead to job creation, increases in land values and more broadly contribute to enhancing food security.

341

Family Business, time-frames and security. How individual / generational life-cycles may impact risk management and the sustainability of the family business.

The value of family business to world economics' is inarguable; the need for the family business to maintain their integrity in terms of their sustainability is essential to each nation. However, within the family business lies a series of individual life-cycles / time-frames, each of which carry security issues that may both restrict or promote decision making processes and which will ultimately impact the family business.

This paper examines this complex issue, discovering that conflicting generational timeframe-security issues, may be significant contributors to much of the poor communication so frequently denounced as a weakness in family businesses. Hindering individuals and family business production and sustainability, the concept of time-frames is worthy of greater discussion in the business world.

342

Voice mechanisms and academic engagement in the higher education sector: a proposed research agenda

This paper presents an examination of voice literature and employee engagement literature in the context of the higher education sector. The purpose of the paper is to provide foundational understanding of how these two concepts interact, particular in the current environment of the higher education in Australia. In doing this, we set out a conceptual research agenda with research questions posed for discussion and debate.

343

Are Overseas Sweatshops a Wicked Problem and Does it Matter? The Case of Ready-made Garments Sector in Bangladesh

Recurrent tragedies in factories across Asia in recent years have prompted efforts by the 'big fashion brands' to shore up their image in the face of adverse publicity and potential consumer boycotts. These events highlight widespread non-conformity with the United Nations' 8th Sustainable Development Goal and International Labour Organisation's 'Decent Work' agenda. This study explores the controversial issue of overseas sweatshops through the much-discussed case of the Bangladeshi RMG sector. We argue that the complexity and conflicting interests of multiple stakeholders have turned the issue of RMG sweatshops into a wicked problem for both emerging and advanced economies. Implications have been drawn for the policy makers by applying systems thinking and iceberg model to configure and address this wicked problem.

345

The future of work: wicked thinking to tackle grand challenges

Policy makers are often called upon to deal with 'wicked problems' but there is a paucity of calls for business leaders to do the same. Yet many of the 'grand challenges' businesses are addressing are not easily defined nor remedied. We draw on the concept of wicked problems to conceptualise the future of work with the aim of understanding perceptions about the future of work. Focusing on the ICT industry, and using a panel of business leaders, we adopted a scenario planning approach using a Delphi Technique to explore future scenarios of 'work'. These narratives tell a story of the dominant business models grounded in the complexities of a 'wicked' environment, for which we suggest the need for 'wicked thinking'.

349

Escape Rooms in Management Education: A systematic literature review and research agenda

As a form of recreation, escape rooms have been steadily growing in popularity over the last decade. More recently, the escape room concept has been used in educational settings, applying the principles of gamification and game-based learning to increase student engagement. This paper presents a systematic literature review, providing an overview of research into the practice of designing and implementing educational escape rooMs Results indicate that the use of escape rooms in educational settings is rapidly increasing across a wide range of disciplines, further supporting their application to management education. The findings from the systematic literature review are then used to develop an agenda for future research into the design and implementation of escape rooms for management education.

35

Entrepreneurial Dispositions, Time Horizons, and Context: Subtleties That Shape Entrepreneurial Intentions

Entrepreneurial intention is a critical concept in the "pre-start" stage of new venture creation. In this study, we differentiate between two types of entrepreneurial intentions, that is entrepreneurial intention in general and entrepreneurial intention in near future. We then examine the direct and interactive influence of individuals' psychological disposition to entrepreneurship, access to resources and perceived environmental munificence on the two types of entrepreneurial intentions. To validate our research model, we employ a large-scale, cross-country dataset - Gallup World Poll. The results indicate that all the three antecedents have direct significant influence both entrepreneurial intentions in general and in near future. Interestingly, only the interaction between access to resources and psychological disposition to entrepreneurship significantly influences entrepreneurial intentions in near future. This study enriches our understanding of entrepreneurial intentions, and the subtleties that shaped by time horizons, individuals' psychological dispositions, and contextual factors.

350

Foundation to India's Tryst with Financial Inclusion: The World's Largest Identity Programme

India has made many attempts at financial inclusion since its independence in 1947, with limited success. One of the cited reason for this outcome is the lack of access to an official identity by the financially excluded. Beginning in 2009, India began a Unique Identification project to provide every resident of the country with an identity based on biometrics. This was particularly significant as fake and duplicate identities in the system resulted in siphoning off of funds from intended beneficiaries of government subsidies and facilities. With the unique identity system as a backbone, many efforts have been made to plug these leakages and streamlining the system. This paper provides an evolutionary perspective of this program.

354

Toward a theory of Intercultural Intelligence in Organisations

In this article, we build on the idea that, employees can understand and manage their levels of intelligence in intercultural settings. We discuss the role of intercultural intelligence in determining employees' job performance and job satisfaction. We define intercultural intelligence, examine its consequences and the factors that link intercultural intelligence to individual outcomes. We conclude with theoretical and managerial implications of intercultural intelligence in organizations.

355

Exploring the Prospect of Niche-Tourism in Western Australia with the Lens of Community Capitals: Implications for Regional Sustainable Development

For regional sustainable development initiatives, there has been contestation between old industry sectors of mining and new industries such as tourism. Reliance of mining and the resource sector has resulted in fragmented top-down policies with an over-emphasis on economic growth, and often at the expense of social and environmental well-being. It is in this context that the question of how alternative forms of tourism that focus on small-scale bottom-up solutions/approaches e.g. niche tourism, can foster integrated regional sustainability is significant. Based on qualitative analysis of 37 semi-structured interviews, this paper examines the prospect of niche tourism in the Great Southern and South West Regions of Western Australia (WA) using the community capitals lens.

359

The Wicked Problem of Women's Attrition from Engineering: A Contextual Reassessment and Research Agenda

Female engineering graduates continue to exit the engineering profession at higher rates than their male counterparts. Despite decades of research, our understanding remains limited due to scholars' oversight of two key areas: the early-career stage and the non-Western context. As most attrition research combines participants at different career stages, this precludes definitive statements on how attrition may differ for women at early-, mid- or late-career stages. Additionally, prior attrition research is overwhelmingly focused on Western, industrialised countries, where educational, professional and social environments possibly differ from non-Western societies.

This paper reassesses the state of knowledge on women's attrition from engineering and proposes a mixed-methods research study to address key gaps in the literature.

360

Teaching Teamwork Skills in a Large First Year Undergraduate Organisational Behaviour Course

Educators in the 21st century must manage multiple challenges in the classroom, including student disengagement, pressure to implement new learning approaches, and an expectation to develop students' employability skills to prepare them for the world of work. In the current paper, we describe the redesign and development of a first-year, undergraduate Organisational Behaviour course in which we focused on developing students' self-knowledge and teamwork skills. We describe the rationale for the redesign and discuss the new learning activities and assessment tasks developed based on extensive student feedback. Although we have only completed the first iteration of the course, anecdotal feedback has been very positive overall. We conclude with a discussion of the results to date and future data collection plans.

361

Does caring for others make me exhausted? The role of emotion regulation and supervisor's compassion

The orientation of caring for others' welfare is beneficial for interpersonal relationships, but people may experience stress from providing frequent and intense care. This study examined the psychological mechanism of the relationship between communal orientation and emotional exhaustion from an emotion regulation perspective with supervisor's compassion as a boundary condition. Survey data collected from 221 employees in an Australian aged care provider shows that communal orientation has a negative effect on emotional exhaustion through reappraisal. Supervisor's expression of compassion strengthens the indirect effect. Our study implies that communal orientation can be included in the selection process, and supervisors may express compassion depending on employee's emotion regulation strategies to protect communal employees against burnout.

362

CEO Altruism, Leader Altruism and Organizational Citizenship Behavior: A Social Learning and Social Exchange Perspective

The study tests the relationship between chief executive officer (CEO) altruism and employee organizational citizenship behaviour (OCB). Specifically, this research investigates the linkage between CEO altruistic behaviour oriented towards employees and employee OCB individual (OCBI) and OCB conscientiousness mediated by leader altruism. Drawing on social learning and social exchange theory, the results provide support for our proposed theoretical model using a sample of 103 leaders across 26 small and medium-sized enterprises in Indonesia. CEO altruism was positively related to employee OCBI and conscientiousness, and leader altruism is found to partially mediate the CEO altruism-OCBI relationship but fails to mediate the CEO altruism-conscientiousness relationship. This research underlines the importance of investigating CEO and leader role modelling in predicting employee OCB.

363

"Public Health Care in Pakistan: Structure and Challenges. Is Human Resource Management the way forward?"

Public health care in Pakistan holds a significant value in the lives of Pakistani people, particularly poor people due to their inability to meet expenses of private health care. Unfortunately, public health care in Pakistan has been underutilised due to a number of longstanding challenges. This study has divided these issues into three categories: financial constraints, inadequate number of human resource, and human resource management challenges. Based on the existing research evidence, this article proposes high-performance work systems and ethical leadership at the supervisory level as the way forward for transforming public health care in Pakistan, and in other developing countries.

365

Climate Change Belief and Resilience to Climate Change in Bangladesh: Is Leadership Making any Difference?

Despite the significant role of global leadership on climate change, the effectiveness of local government leadership outcome in the developing countries has been neglected in the literature. Applying the Adaptive Capacity Vulnerability Theory, this paper examines the relationships among climate change belief (CCB), perceived local government leadership (PLGL), resilience to climate change (RCC), and both the mediation and moderation roles of PLGL on the relationship between CCB and RCC. From the 200 riverbank erosion victims in Bangladesh, the results suggest that CCB, RCC and PLGL have significant positive relationships among each other. However, PLGL shows a partial mediation on the relationship between BCC and RCC but no moderation impact to demonstrate effective local government leadership influence among the victiMs

366

Relationship quality Competency for Vietnamese Logistics SMEs

Relationship quality competency has important role contributing to the firm's successful performance, especially in SMEs cases. Using the data from 25 semi-structured in-depth interviews with the SMEs owners in Vietnam logistics industry, this empirical paper demonstrates owners' perceptions on their relationship management. In particular, we focus on identifying the behaviours adopted by entrepreneurs to build their relationship, create trust and comparing the difference between the use of formal institutions and social networks in their practices. The study finds that the entrepreneurs prefer the use of connections to build a successful working relationship. This creates important implications for SMEs owner to be more proactive in combining both institutions and social contacts to build trust with their partners in a low-trust context.

367

Does organisational context influence employee engagement? The experience of an Australian financial services firm

This paper explores the role of work environment factors on employee engagement. It will examine the organisational context within which employee engagement manifests using a case study of an Australian financial services organisation. The nascent engagement literature has produced various findings concerning the determinants of engagement, however no universally accepted set of factors exist. The paper is motivated by the shortage of research that considers the situational and contextual factors and also by the lack of qualitative studies. The case study finds that a high-quality work environment increases engagement levels. Future engagement research must give primacy to context to the study of employee engagement and calls for a broadening of the methods of research, such as qualitative studies.

368

Facebook usage and transition from introversion to extraversion: A perception study of Facebook users

Today Facebook has emerged as the most popular social networking site across the globe and has been attracting significant attention in the academic literature. This study attempts to explore the influence of Facebook usage on the personality of its users, especially if they have perceived any transition from introversion to extraversion. This study proposes that the 'perceived value from Facebook' and 'trust in the Facebook' cause a 'transformation from introversion to extraversion in the personality of an individual' when mediated by its 'continued usage'. Based on literature review, a research model is developed and empirically tested in three phases. The statistical analysis of the results using Partial Least Square (PLS) Method support the hypotheses and validate the model.

369

Impact of Internal Environmental Uncertainty and Knowledge Leveraging on Manufacturing Plant's Financial Performance

Businesses are unclear about which levels of knowledge leveraging from suppliers and customers increase the financial performance in internal uncertain business environments. Therefore, this study first aims to explore how the leveraging of supplier and customer knowledge, which are driven by different motivations, impact the financial performance in modern days. Also, this study further investigates the impact of internal business environmental uncertainty dimensions of dynamism, munificence, and complexity on a business' knowledge leveraging practices and financial performance. This study used empirical data from 513 plants, across 9 countries, and 21 industries and invokes Knowledge-Based View with environmental uncertainty literature. Leveraging of supplier and customer knowledge improve the financial performance and internal environmental uncertainty dimensions moderate those relationships.

372

Legitimacy of Corporate Social Innovation: Legitimizing Resource Mobilization for Corporate Social Innovation in the Case Studies in Japan

This paper will assert legitimacy of social innovation, especially of corporate social innovation and also proposes a new concept of "exclusiveness in social innovation". Social Innovation requires resources that transform new ideas into social products or social business models. However, a new social business project in a company at the outset, uncertainty always prevails both economically and socially. Furthermore social innovation has 'exclusiveness' by nature that means the social innovation is for particular stakeholders only. Drawing on examples of successful companies such as Yamato, Yamaha and Yamaha Motor, this paper examines the CSI process of these established Japanese firms and how social entrepreneurs create the legitimacy creatively and flexibly as the situation demands.

373

The Challenge of using Practice-based Strategies to Change a Workplace Environment

Complex balancing of building, technology, layout and furnishings around changing regulatory requirements and staff expectations can be a challenge. Government directives and department re-structures add pressure to cost containment and offering suitable workplaces. In addressing this wicked problem, an ethnographic case study was conducted to seek out a collaborative activity-based work (ABW) environment and drive behaviours towards improved work space utilisation. Drawing on a practice-based approach around an ABW pilot, semi-structured interviews and discussion group with pilot participants, supplemented by wider participant observation, was used to tame the problem's wickedness. A community-of-practice embedded individual and organisational learning. A hybridised ABW environment was negotiated to provide a workplace configuration considered palatable, given the organisational maturity and political influences.

374

Is there a gender- and non-English-speaking-pay gap among skill discounted migrants?

Migrant skill discounting typically leads to employment in jobs that require the use of less skill and pays lower wages. Is the disadvantage of skill discounting more commonly experienced by female and Non-English-speaking migrants? Drawing on intersectional theory and the Continuous Survey of Australia's Migrants, this paper estimates the gender- and Non-English-Speaking Background wage gap. We found that women are less likely to be skill discounted, while NESB migrants are eight times more likely to be skill discounted. Among skill discounted migrants, females earn about 91% of male earnings, while NESB migrants earn about 62% of ESB earnings. We estimate that the intersectional pay gap is about $2,400, about 4.3% of skill discounted female NESB earnings.

376

Investigating the impact of inclusive leadership on team diversity climate and the role of psychological safety as a mediator

Organisations are increasingly multicultural and often struggle with how best to manage diversity. Inclusive leaders ensure similarities and differences are appreciated and valued (Nembhard & Edmondson, 2006), resulting in climates that engage a diverse workforce (Hajro, Gibson, & Pudelko, 2017), so that diversity can be harnessed to help the team decrease diversity conflict. In addition to understanding the consequences of inclusive leadership behaviours and engagement-focused diversity climates, the study also investigates the role of psychological safety as an intragroup processes that can explain these relationships. This mediator may serve as important points of leverage for teams to improve communication and facilitate outcomes in their teaMs

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'Quality 4.0' and Water Management Practices

In this paper we explore emergent digital age quality management concepts as they might be applied to UN sustainable development goals for water management. The American Society for Quality is promoting discussion of how management practices might change under the heading of 'Quality 4.0', and we contribute to the further development of this concept. In parallel, the water industry is pursuing digital technology opportunities under the heading of 'Water 4.0'. We explore the way these ideas might be reflected in a particular industry sector – the dairy industry, which was selected as a significant consumer of water resources. The foundation role played by interconnected smart sensors to support water and food safety management is discussed.

38

Researching the implications of artificial intelligence to human relations: A call for a new sub-discipline

When or how autonomous, self-conscious (strong) AI might appear in organisational life we do not yet know, but technological advancements tend to outpace our understanding of their social, economic, cultural and implications. It is only with hindsight that we react to profound technological change, trying to understand its implications. Thus we argue that organisation scholars should begin to look more closely now at AI and consider the implications of its deployment in organisation. In doing so, we suggest that a new sub-field of study be established that we call peri-human relations. To stimulate debate we sketch out a point of departure for discussion.

380

Context is everything: the role of relational context in the workplace

This paper reports on research into the role of workplace relationships in providing a supportive context for engagement and wellbeing as organisations and individuals to tackle increasing wicked problems in challenging environments. The relational context (Kahn and Heaphy, 2014) literature builds on Kahn's (1990) personal engagement and workplace friendship and relationships. The study uses qualitative methods and diary studies employing digital diaries, reflection and interviews to explore Conner and Barrett's (2012) experiencing, remembering and believing self when relating to people at work. Participants from a UK government sector organisation recorded diary entries using a digital app. The paper provides research notes on turning concepts from the literature into a workable design with very early observations from data collected in June.

383

Fear of Failure Experience and Entrepreneurial Intention: An Empirical Framework

Research exploring the role of the fear of failure (FF) in entrepreneurial intention (EI) emerged from multiple perspectives and, leads to conflicting conclusions and limiting understanding. This study seeks to offer a comprehensive framework explaining FF interaction with EI. We used thematic technique to analyse data collected via 30 interviews. Our findings suggest the FF as a dynamic experience of interaction between cognitive-affective factors, eventually shaping indented behavioural response. We establish dispositional and situational sources of FF related to EI and, identify triggers of change that may moderate the relationship between FF and EI through their influence on intended behavioural response. We conclude presenting implications of the proposed framework, limitations of this study and suggest directions for future research.

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The business – government nexus: The role of government in business responses to climate change

Climate change, which has been described as a 'super wicked problem', is a complex issue requiring complex solutions. Businesses, key to both producing emissions and for developing the necessary solutions, play a central role in this issue. Business responses however, did not move beyond 'plucking the low hanging fruit' of energy efficiency and emissions intensity reductions within a win-win rhetoric. This necessitates a shift in focus beyond businesses, to study the impact of external agents on business responses. This paper explores the impact of government, a key player in the climate change scenario, highlighting how businesses responded to legislation and perceived related issues. Insights generated will help future regulatory regime to drive business responses to climate change in Australia.

389

Management education, competency, andragogy and Business Simulations.

As Gosling and Mintzberg noted, "management is neither a science nor a profession, nether a function nor combination of functions. Management is a practice – it has to be appreciated through experience, in context. Management may use science, but it is an art that is combined with science through craft" (2004, p. 19).

Role platys real world scenarios and simulations are advanced as a superior method of learning that cannot be replicated as effectively in the online environment, given current technological limitations.

This paper reviews the literature relating to pedagogy vs. andragogy and in particular the concept of adult learning and techniques such as simulations as a way of creating safe learning environments in which interpersonal skills can be developed.

39

Financial hedging to neutralize versus operational flexibility to exploit exchange rate fluctuations

Operational flexibility is a key advantage for firms with multinational subsidiary networks. However, its relation to other instruments of risk management is still unclear, particularly vis-a-vis financial hedging instruments. In this study, we disentangle and contrast the benefits that MNCs can earn from financial hedging compared to operational flexibility. We show that financial hedging protects firms with poorly diversified international subsidiary portfolios from exchange rate fluctuations, whereas operational flexibility provides firms with well diversified subsidiary portfolios with the opportunity to exploit exchange rate fluctuations, conditional on their ability to recognize and exercise switching options. Results from regression analysis on a sample of U.S. MNCs support the hypotheses.

392

External Barriers in Innovation of Value Proposition for Private Non-University Higher Education Providers

Australian higher education has an established quality education framework and organizations that provide affordable higher education degrees such as private non-university higher education providers (PNEPs). These institutions and the legal regulations contribute to achieve one of the sustainable development goals of the United Nations, equal access to quality and affordable higher education. However, PNEPs need to innovate to survive and remain competitive. External barriers may prevent them to innovate one of their most important business model components, the value proposition they offer to their students. This multiple case study describes the external barrier perception of fifteen internal stakeholders. Findings indicate that government quality regulator and government immigration agency considerable condition innovation and heavily influence their value proposition.

393

Can wicked problems be tackled creatively as wicked communication problems? Engagement, fractiousness and possibilities in one local government situation

This paper builds on recent work shifting ideas away from communication as just conveying private or public interests, to, at least partially, constituting those interests. It uses an account of a project designed to tame a local government wicked problem to also illustrate the high impact of communication on multiple interest-forming practices. At the same time, aligning with the increasing impact of positive psychology on management thinking, it seeks to shift perceptions positively by involving the community in transmedia storytelling. Finally, we hope that through this intervention into a small-scale communication problem in one local council to add value to a wicked communication problem that is relevant internationally.

394

Communal Obligation: Manifestation of Spiritual Values in Entrepreneurial Activities

Studies have shown that culture and religion are important explanatory variable for entrepreneurship. Religion, in particular, is known to shape the attitude, values, and behaviours of both individual and society, influence their way of lives and career choices. Yet, studies that consider the role of religion in shaping entrepreneurial activities have been scant, particularly the Islamic religion. In this study, we explore how spiritual value is manifested in the entrepreneurship process. Based on narrative interviews with 15 Muslim entrepreneurs we discovered that the spiritual value of Fardhu Kifayah plays a key role in directing Muslim entrepreneurial activities to go on the entrepreneurship path, became the source of their entrepreneurial opportunity, and finally led them to act on the opportunity.

395

Common Corporate Language and Procedural Justice of Joint Venture Managers

Researchers have identified wicked problems in cultural and language-specific challenges and adverse impacts of differences in language on the effectiveness of cross-border partnerships. Several language strategies have been identified in the literature for better outcomes for between contracting parties: adopting a common corporate language (CCL), increasing the frequency of communication and employing translation services. Employees often feel disconnected and develop a sense of injustice when the perceived language differences are high. This study empirically examines the factors influencing procedural justice in the context of a Japanese-European international joint venture (IJV). Using data from an online survey, the study found that perceived common corporate language differences (CC-LADs) and the frequency of communication have an influence on procedural justice in the decision-making process. Further, the analysis revealed that both perceived CC-LADs and communication frequency matter to managers with higher levels of CCL ability than their partner. The paper also examined whether the frequency of communication has a moderating effect between perceived CC-LAD and procedural justice outcomes. The findings suggest managers with high CC-LAD see decision-making process as fairer when communication occurs frequently and for managers with low CCL ability or a high perceived CC-LAD, the decision-making process is fairer when communication occurs frequently.

43

The application of the 3P lean product development method in healthcare facilities design.

The design of facilities has a large impact on capital cost, operations, efficiency, users' experience and health outcomes. Designing healthcare facilities is complex with multiple stakeholders and seven flows of medicine that interact. 3P is a workshop-based participative Lean design process that embodies the concepts and methods of Lean Product Development that takes into account people, products and processes to produce a final design that facilitates Lean operations. The paper explains how 3P has been derived from Lean Product Development. A case study that redesigned an endoscopy unit using 3P at Gateshead Health NHS Foundation Trust is presented. The proposed approach has broad applicability for designing facilities in service settings.

44

"Yes, and"-ing with a point: A strategic organizational behavior approach to understanding competent improvisation

I present a framework based on strategic organizational behaviour to understand improvisation competence at the individual and organizational levels. Drawing on theatrical improvisation, I propose that competent improvisation entails acknowledgement and contribution ("Yes, And"-ing), along with the establishment and maintenance of a "point of concentration." I incorporate research from organizational behaviour, human resource management, and neuroscience to explore the content of "improvisation competence," how it might benefit outcomes of organizational interest, and contextual factors that likely contribute to these benefits. I also describe how configurations of individual- and organization-level factors relating to and supporting improvisation likely lead to competitive advantage. I conclude with the implications of this work for scholarship and practice, as well as directions for future research.

46

Truth or dare: Can the mystery between multiple job demands and employee wellbeing and performance be solved?

Although prior work has repeatedly demonstrated the adverse effects of job demands on employee outcomes, there is evidence of conflicting results between multiple types of job demands (e.g., acute and chronic) and employee wellbeing and performance. Wellbeing, one of the Sustainable Development Goals (SDGs), has rapidly gained attention because of the rising urgency of sustainable development worldwide. Given that work influences wellbeing, and wellbeing is essential for organizational success, it is in an organization's best interests to foster wellbeing at work. This concern indicates a need to investigate why, how, and for whom multiple job demands lead to adverse work-related outcomes, especially in light of high-performance work systems (HPWSs) that may change the way organizations promote employee wellbeing and performance. By drawing on the Jobs-Demands-Resources (JD-R) theory, I unpack the mediating mechanisms such as burnout and work engagement through which multiple job demands can influence employees' psychological wellbeing and job performance. Moreover, I articulate how HPWSs can act as a potential job resource that may moderate the negative effects of multiple job demands; which in turn, may foster positive work-related outcomes. My theoretical frameworks should inform new theory and research on positive employee wellbeing and performance, as well as how HPWSs affect multiple job demands through burnout and work engagement in highly stressful jobs.

47

A multilevel analysis of work-life balance practices

The current study uses a multilevel analysis to examine how work-life balance (WLB) practices implemented at the organizational level affects employees perceive WLB practices and performance management as well as employee commitment at the individual level, underpinned by the theory of supportiveness and the relational perspective. Respondents were 319 employees and 74 managers from small and medium-sized enterprises of various industries in Malaysia. Results indicate that employees perceive WLB practices and performance management would influence employee commitment whereas WLB practices at the organisation level have a negative influence on employee commitment. The study also found the difference in perception regarding WLB practices between managers and employees to be statistically significant. The current study provides a plausible explanation that the HR practices undertaken by the organization may not be perceived as available by employees, thus affecting their commitment.

5

Flipping the coin on abusive supervision

Since the emergence and identification of the phenomenon of abusive supervision in organisations, most research has extensively relied upon one side of the coin (i.e., the employees' perception) and subsequently linked this phenomenon to the supervisor's behaviour. We 'flip the coin' to address this research gap by investigating employee characteristics as a factor related to the perception of abusive supervision. Analyses of data collected from four hundred and forty-three employees from the telecommunications industry in Pakistan revealed that employees' impression management tactic (intimidation) was positively related to their perception of abusive supervision as mediated by their emotional exhaustion. In addition, recognition (i.e., top management's recognition of employees' works attitude and behaviours) was found to moderate the indirect effects of intimidation on the perception of abusive supervision via emotional exhaustion. However, contrary to our prediction, the indirect relationship, intimidation – emotional exhaustion – perception of abusive supervision, was positively significant at a high rather than low levels of recognition. Our findings contribute to the abusive supervision literature by challenging the claim that supervisors are to blame for exhibiting abusive behaviour and identifying a new underlying factor related to employees' perception of abusive supervision in the workplace that is employees' intimidation. Further theoretical contributions and practical implications are discussed at the conclusion of the paper.

51

Understanding learning organizations in practice: A New Zealand case study

This research explores the employees' perception of learning in an organisation that subscribes to Örtenblad's integrated framework of learning. Specifically, it aims to understand how each element of the framework is used to enhance learning. A qualitative case study, using in-depth interviews, was conducted in an IT consultancy organisation in New Zealand. The study found that contextualising the learning according to the nature of business was essential to facilitating collective learning. It also found that the use of the integrated model enhances learning for both the individuals and organisation. This empirical study adds specifically to the literature by offering insights into successful adoption and how the response of employees is crucial to that in a specific organisation.

52

The role of chain-wide governance in agribusiness value chains: An exploratory case study

The concept of firm value creation and capture has gathered ongoing interest from academics. However, the issue of end-to-end governance of value chains has received less attention. This research focuses on the governance of value co-creation and collaborative activities that take place between organisations by adopting an exploratory multiple case study methodology of five cases. The results highlight the importance of integrated governance, channel leadership, value co-creation, and brand ownership and control as key drivers of value creation and capture. Further, propositions are developed for future empirical analysis, and potential value creation pathways are introduced.

53

Impact of supporting and valuing diversity on employee outcomes: Mediating role of diversity climate

This study theorises and tests a model linking efforts to support diversity and organisational value of diversity with job satisfaction and organisational identification, and propose that this relationship is mediated by diversity climate. The relationships are positively hypothesized based on signalling theory and social exchange theory. The structural equation modelling analysis shows that the mediating role of diversity climate in the relationship of organizational value of diversity and outcomes (job satisfaction and organizational identification) is significant, whereas the relationships of efforts to support diversity were found to be non-significant. Our findings suggest that valuing diversity will result in improved perceptions of diversity climate among employees, eventually enhancing outcomes. Future research might investigate the proposed theoretical model in different cultural setting.

57

Exploring how interactions enable innovation and regulation: the case of regulatory sandboxes

Regulatory sandboxes guide FinTech firms through regulatory frameworks and hence constitute a prominent mechanism to enable innovative and entrepreneurial activities in the financial services industry. This paper explores how interactions that occur within regulatory sandboxes influence practices of regulators and regulatees, using the theoretical lens of institutional theory and social capital theory. To achieve this, an exploratory approach is adopted using data collected from 13 semi-structured interviews. Findings show that regulator-regulatee interactions influence regulatory knowledge and risk management capabilities, legitimacy and conformity with regulatory frameworks for sandbox participants. Findings also indicate that regulators become knowledgeable of novel technologies and have early access to innovative solutions that are designed to comply with regulatory systeMs This research contributes to extant literature on incubation model breakthroughs.

59

System traps in long-term disaster recovery: why resilience and wellbeing need a different strategy

Recent research projects reveal common themes of developing and ongoing mental health and wellbeing concerns emerging within long term disaster affected communities. Meadows suggested that there are “some systems structures that create common patterns of problem behaviour” (2008, p.111), which become traps in the system. In this paper we consider how applying different system traps contributes to creating alternative understandings of well-being systems in long-term disaster recovery. Two system traps are analysed offering alternative understandings of well-being systems in long-term disaster recovery.

6

Innovativeness efforts and hotels performance in oil-dependent economies: The case of Qatar

Many studies have examined the impact of innovation on performance in manufacturing firms and yet little substantive research focusing on this issue in the service sector. To fill this gap in the literature, this paper investigates the innovation-performance nexus in the tourism sector in Qatar. The choice of the Qatar hotels industry is driven by the several challenges that encounter the Qatar economy in the upcoming few years; hosting the world cup 2022, economic diversification, and achieving the Qatar National Vision 2030. To answer the research question of this study, a theoretical framework was developed to examine the causal relationship between four types of innovations and five types of hotels performances. The sample includes all the 3, 4 and 5 stars hotels in Qatar and was carried out during a period of 6 months between the end of 2016 and the beginning of 2017.

The survey responses indicate the existence of innovations efforts begins with organizational innovations and lead at the end to an improvement of financial performance. In particular, the findings support twelve out of the fifteen hypotheses examined in this study. The three hypotheses that not validated include the expected positive effect of process innovation on service innovation, the expected positive effect of innovative performance on operational performance, and finally the expected positive effect of environmental performance on financial performance. Several theoretical and managerial implications of the empirical findings discussed.

60

How managerial empathy increases stakeholder salience

Mitchell, Agle and Wood's (1997) theory of stakeholder salience identifies firms' stakeholders based on their possessing some combination of three attributes: power, legitimacy, and urgency. Any given stakeholder's salience is argued to rely on managerial perception of these three attributes. As both the attributes and managerial perception can shift, this allows for a dynamic model of stakeholder salience. We suggest that what influences managerial perception has not been fully explored in stakeholder salience, leaving some managerial decisions unexplained by Mitchell et al.'s theory. We argue that managerial empathy can explain many of these otherwise-unexplained decisions and complements Mitchell et al.'s proposed attributes of power, legitimacy, and urgency.

63

Does entrepreneurial personality traits of informal entrepreneurs mediate the EO – firm performance relationship? Evidence from a developing country

This paper examined and confirmed the mediating effects of entrepreneurial personality traits on the relationship between the entrepreneurial orientation (EO) of a business and its performance among informal entrepreneurs in developing countries. By using 236 responses of informal entrepreneurs in Bangladesh, the study used a partial least squares approach to path modelling to examine the proposed relationships in the research model that were based on the trait-based view and the dynamic capability view. By integrating trait-based and dynamic capability perspectives to explain the mediating effects of entrepreneurial personality characteristics, these findings advance theory and research in informal entrepreneurship context. The findings also have practical implications for policy makers regarding how to support individuals to develop personal characteristics that contribute to successful outcomes.

64

Aristotelian rhetoric in FMCG advertisement and its impact: A study from India

In this paper, we investigate the relationship between the classic Aristotelian rhetoric (ethos, pathos and logos) used in televised FMCG advertisements and its impact in terms of attractiveness and persuasiveness. A total of 110 advertisements across 11 FMCG subcategories were analysed employing a two-stage (N1 = 55 and N2 = 330) multi-sample study in India. The results showed emergence of different relationship patterns between the rhetoric and its impact across samples that varied in terms of demography (age, marital status, partner's working status). The theoretical and practical implications of the results are discussed at the end.

65

Work-family conflict as a mediator between job demands and burnout among primary school teachers

This study investigates the potential mediation effect of work-family conflict between job demands and burnout. Data were collected from 713 primary school teachers from public schools of Chhattisgarh state in India through questionnaire survey. The findings reveal that work-family conflict partially mediates the association of job demands with burnout.

67

Charting a course, embarking on a journey: Developing leadership competences in complex project management

This paper explores the development of an executive education program requested by a project-based organisation seeking to progress to the next level regarding project management leadership competences –reflecting the changing world– and building a common approach across the organisation. We draw on recent research in management education, leadership and project management competence development and describe how current challenges in these areas have been taken into consideration in our program design development, delivery and evolution. Although the program comprises a number of competences for the purpose of illustration, this paper focuses on stakeholder management as a means of depicting content development and organisational adoption.

68

Addressing wicked problems: Implementing innovations when facing stakeholder resistance

Wicked problems are challenging for society as a whole, and especially so for managers and innovators. Those who address them have to deal with high uncertainty, unpredictability and uncommon complexity while additionally dealing with stakeholder resistance to innovations. The aim of this paper is to provide academia and practice with strategies useful to deal with stakeholder resistance while implementing innovations that address wicked probleMs A qualitative systematic literature review identifies strategies to address wicked problems and innovation resistance, respectively. In addition to that, a field research reveals seven strategies prior to and nine strategies during and after the implementation used by practice to implement innovations that address wicked probleMs

7

The Influence of CEO Duality and Board Size on the Market Value of Spun-off Subsidiaries: The Contingency Effect of Firm Size

Corporate spin-offs have become more popular as a restructuring technique in recent decades. After becoming independent companies, the market performance of these spun-off subsidiaries has been considered critical since sending positive signals to the market is a vital component for these subsidiaries' success. In this paper, we examine effects of two critical governance characteristics (namely, CEO duality and board size) on the change in the market valuation of spun-off subsidiaries. In particular, we argue that both board size and CEO duality of spun-off subsidiaries should positively influence the change in their market valuation. As a result of our empirical analysis, we have found that both of these factors indeed have a positive, significant influence on this change. Furthermore, our analysis for the interaction effect of firm size indicates some significant impacts on both previously defined relationships. All these findings contribute to the governance literature from the perspective of corporate spin-offs in terms of better understanding how CEO and board characteristics matter in improving these subsidiaries' market valuation contingent on the firm size. Our arguments are grounded in the organization and resource dependence theories.

70

Career outcomes post-entrepreneurship

To understand the consequences of undertaking an entrepreneurship experimentation on subsequent wage-employment we conducted a systematic review in EBSCO Business Source Premier database and narrowed 1423 search results down to 22 relevant papers. Most findings showed an earnings penalty post-experimentation. However, a handful studies found an earnings premium post-experimentation. Our in-depth review identified the following factors as influencing the results: if the study considered business incorporation, firm performance, the type of job and in what sector, if the individual switched jobs or sectors, the underlying human capital, and the timing in which measurement occurred. These intricate influences and their implications for research and practice are discussed.

78

Bridging the gap between what should do and what have been done

Maintaining the sustainability of the small-medium enterprise sector has become the focus of many developed and developing countries. It's vital role in the economy has made the sustainability of this sector essential for the economy of a nation. This study used a qualitative approach with a grounded research strategy in identifying the effectiveness of support provided by the Indonesian government with what is actually needed by the business in the sector of small and medium enterprises. Several types of support required evaluation and improvement to be optimally distributed to meet the expected result. The findings suggest that the Indonesian government needs to make changes in its procedures in initiating empowerment and sustaining prograMs

80

Designing performance management to be an ethical tool

In this paper we consider the potential role of employee performance management in supporting the development of an ethical culture. The importance of both ethical leadership and an apposite culture to maintain an ethical organisation are well known, and yet there are still enormous challenges in creating appropriate processes to support ongoing ethical behaviour. We apply Schwartz's (2013) ethical culture framework to qualitative cases from the Australian Public Service to consider how employee performance management can be developed as an ethical tool. We argue the need for better horizontal alignment of different human resources policies and practices, thereby actively designing the processes as part of an ethical support strategy.

81

The role of strategic collaborations and relational capital in enhancing product performance – A moderated mediated model

This study examines how firms can maximize the strategic value of their key supplier for improving their product performance by developing strategic collaborations with the key supplier as a mediating factor. Furthermore, it also seeks to understand the role that commitment plays in strategic relationships by testing how the mediating role of strategic collaboration is moderated by the level of buyer-suppliers relational capital. Using dataset drawn from 204 manufacturing firms in Australia, the findings show that strategic collaboration mediates the relationship between the strategic value of key supplier and buyer's product performance, and the mediating effect is moderated by the relational capital between the buyer and the key supplier.

83

High performance work systems and psychosocial work environment: A moderated mediation model

This paper contributes to the small but growing body of work that has considered the well-being of hospitality employees. Specifically, we examined the influence of high performance work systems (HPWS) on hospitality employees' affective commitment to the organisation. The study found work engagement as a full mediator of the relationships between HPWS and affective commitment. Workplace bullying, a highly prevalent negative aspect in the hospitality sector, was found to mediate the relationship between HPWS and work engagement, threatening affective commitment and well-being, while psychosocial safety climate moderated this mediating impact, suggesting a potential approach to manage psychosocial hazards in this sector.

85

Understanding the value logic of family business

Business model is being understood as the value logics in value proposition, capture, exchange and creation. This research applied a structured literature review to elaborate family logic and connected with family business model. Family business in most cases are family fund in which they offer job opportunities prior to family members. Familism would have strong impact on decision making and daily operation. Family members working in family business raise the complexity of the relationship among stakeholders. They take actions to create, maintain and disrupt the institutional work. My contribution is to identify key components typically for a family business model under value logics perspective and support family business better position themselves at family-first business and maintain a sustainable development.

86

Greater inclusion of people with disabilities in mainstream employment: A call to action for the management discipline to engage with this wicked problem

With the objective of engaging management scholars with the wicked problem of exclusion of people with disabilities from mainstream employment, this paper presents a research agenda based on a review of available literature. Three themes emerged from the review: (1) supply-side predictors of employment outcomes, (2) demand-side predictors and (3) environmental predictors. Gaps in current knowledge include: (1) limited studies with theoretical underpinnings; (2) few longitudinal studies which measure real employment outcomes; (3) a lack of in-depth understanding regarding sources of employer heterogeneity; and (4) a lack of holistic approaches to understanding employment outcomes for people with disabilities. We call on management scholars to fill these gaps in knowledge in order to facilitate better employment outcomes for people with disabilities.

89

The effect of team pay dispersion and team LMX on perceived incivility

The current paper explores the effect of pay dispersion in the team and team LMX on individual incivility perceptions. Employing Blau's (1964) social exchange theory as the guiding theoretical rationale, we first explore the direct effect of pay dispersion on incivility. We further hypothesized that team-level leader-member-exchange (LMX) acts as a buffer moderator, offsetting the negative effect of pay dispersion on incivility. Employing independent samples from three non-profit organizations in Australia, we employ multi-level modelling to predict individual incivility perceptions. We find that only the individual level predictors are statistically significant: Those with low LMX report higher levels of perceived incivility. Our findings do not provide support for the proposed interaction effect between team level LMX and pay disparity.

90

Gain or drain: The impact of daily commuting on cyberloafing and procrastination

As employees spend significant part of their workday commuting, we need to begin the important work of understanding how the daily commute impact employees' work performance. Drawing from the commute impedance model, we examined the impact of crowding and time urgency on commuters' psychological detachment and relaxation during the commute. We also examined the impact of relaxation and detachment on cyberloafing and procrastination respectively. Findings showed that crowding was negatively related to relaxation while time urgency was negatively related to both psychological detachment and relaxation. Commute predictability moderated the relationship between time urgency and relaxation only when predictability was high. As well, relaxation was positively related to cyberloafing while detachment was not significantly related to procrastination.

93

Increasing price transparency to mitigate consumers' negative responses to personalized price discrimination

Personalized price discrimination, also referred to as personalized pricing, has enormous potential monetary benefits for sellers but consumers' negative reactions might outweigh these benefits. Therefore, it is of high importance for practitioners to find tactical ways that mitigate negative reactions when adopting personalized pricing. By means of an experiment, this study provides evidence that price transparency is a fruitful approach to mitigate consumers' negative reactions to personalized pricing. The effect of price transparency on consumers' responses is fully mediated through price fairness perceptions. Moreover, consumers' negative responses are more severe if the personalized pricing tactic makes use of consumer data with a high degree of information sensitivity. However, the effectiveness of price transparency does not depend on the personalized pricing tactic.

94

Embracing ambiguity in project managers

Ambiguity and uncertainty are integral to managing projects, yet existing practices to deal with these 'messy' situations call for avoiding or minimising the unknowns rather than embracing and navigating through them. This paper explores the concept of tolerance of ambiguity (TOA), and ways to foster positive attitudes regarding ambiguity in project managers. We argue that positive attitudes towards ambiguity can be enhanced by considering both stable (trait) and flexible (state) aspects of TOA. We propose a set of modifiable individual (emotional intelligence and paradoxical thinking), organisational (stakeholders support and learning culture) and situational factors (project stage, risk impact and project progress) under which project managers are likely to enact higher levels of TOA states. We offer directions for future research and practice related to TOA in projects.

96

Crowdfunding as a new platform for entrepreneurs: Increasing the odd of success

Crowdfunding provides an online platform for entrepreneurs to raise money from the public, to reach out to the market, and to receive feedback on product prototype. This paper examines (1) whether the signalling of trust on crowdfunding webpage affects crowdfunding success in the amount of fund raised, the number of funders, and the number of feedbacks and (2) whether benevolence trust enhances the adoption of discriminatory pricing in crowdfunding. Our predictions are verified with 469 crowdfunding projects on a major crowdfunding platform. Results show that trust in general increases crowdfunding success but with two caveats: that competence trust reduces the number of feedbacks, and that discriminatory pricing reduces crowdfunding success when benevolence trust is high.

98

Affective diversity and creativity in teams: The role of transactive memory

Group affect research has typically focused on affect convergence, assuming that mean group affective tone predicts team functioning. Leveraging knowledge workers' contributions toward creativity in project teams is challenging, however, and likely to provoke mixed emotions among team members. In this research, we therefore focus on the role of team affect heterogeneity, and study its effects on project team creativity. Based in dual tuning theory, we theorize that state affect heterogeneity can facilitate team creativity (via team transactive processes), but only when the team's transactive memory is high. Results of a longitudinal study of week-to-week team affect and creativity support our multilevel mediated-moderation model.

1

Social innovation in the classroom, a transformative learning experience?

Dr Tobias Andreasson1

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In this workshop participants will become more familiar with what social innovation is about and work together in a co-design style to identify transformational learning opportunities. Participants should walk away with some fresh ideas about learning and teaching in their discipline.

More specifically, the workshop will provide an insight into how we can understand social innovation as process for social change and not an end goal. When we do this, it is possible to unpack the process and explore the skills, knowledge and experiences that are required in each step. The unpacking both demystifies what social innovation is about and provides a pathway for how we can facilitate transformational learning experiences about social challenges and 'wicked problems'.

The aim would be that such learning experiences can be transformational for all involved and instil a social innovation mindset among students across different disciplines. The workshop will be structured like a co-design workshop, asking the participants to use the material presented and work together to design assessments and/or tasks for students. It will benefit teaching academics who are interested in social innovation but may not be completely clear how to translate it in the classroom or feel they could benefit with some collaborative exploration about how social innovation can be an approach for transformational learning.

2

Scholarship among Casual Academics: Understanding and implementing the TEQSA requirements

Dr Geoff Chapman1, Professor Santina Bertone1, Dr Stephanie Macht1, Dr Ritesh Chugh1, Associate Professor Julie Fleming1, Ms Maree Franettovich1, Mr Tim Whan1

1CQUniversity

Traditionally, casual academics have not been expected to maintain scholarship in the discipline/s they teach. This is changing, however, as TEQSA and other accreditation agencies increasingly emphasise the importance of currency in the knowledge and skills of all teaching staff delivering courses in higher education. TEQSA now expects to see evidence of active and ongoing scholarship among casual academics, resulting in significant organisational adjustments being operationalised in the higher education sector. These changes are likely to require behavioural, attitudinal, and system changes among the stakeholders involved in managing casual staff and from casual academics themselves. This is a wicked problem due to several structural complexities – casual teaching staff are heterogenous in their characteristics and aspirations, have varying employment arrangements, and are often treated as an 'invisible workforce'. Enforcing scholarship requirements may result in employment tensions and resistances that need to be 'managed' by institutions. Accordingly, a wicked solution is needed that addresses the concerns of casual academics, and also how staffing practices and policies may be changed to enable effective organisational responses to this issue.

In view of the magnitude and complexity of the changes involved in introducing explicit, formal requirements around scholarship for casual academics, there is a need for evidence-based, qualitative research during both early and subsequent phases of policy implementation. Results of this workshop can be used to inform policy evaluation and review, as well as leading to publications that inform both specific organisational practice and the wider sector.

Delegates who attend this session will gain a broader understanding of the TEQSA requirements for scholarship among casual academics, and how universities are responding to these requirements. Furthermore, delegates will participate in a world-café style group discussion to better understand individual and institutional perspectives and practices relating to this issue. A network of interested individuals will be established at the workshop, with plans to extend the discussion further.

3

Best Practice Recommendations for Studying Moderating Effects in Organizational Behavior Research

Professor Gordon Cheung1

1University of Auckland

Moderators that specify contingencies and boundary conditions play a central role in organizational behavior research, because moderators serve to refine theory for the explanation of complex human behavior. While there are multiple reviews on the problems and recommended ways to study moderators in empirical research, many new problems have arisen, because of the increasing complexity in organizational behavior studies. Moreover, recent developments in data analytical approaches also provide solutions to some old probleMs Hence, this workshop will present ten problems identified in recently published OB studies, including: (1) Hypothesizing main effects before hypothesizing moderating effects; (2) Nature of the moderating effect incorrectly specified; (3) Lack of attention to the reliability of interaction term; (4) Possible range restrictions in independent variables and moderators; (5) Ignoring measurement errors in analysis; (6) Separate models for each moderator when multiple moderators are involved; (7) Inappropriate standardization of interaction term; (8) Incorrect tests of moderation with multiple dependent variables; (9) Interpretation of main effects when moderating effect is statistically significant; and (10) Arbitrarily selected levels of moderator in (a) graphical representation; (b) simple slope analysis; and (c) significant test for difference in slopes. Best-practice recommendations and exemplary studies for each of the problems will be provided.

4

Developing Indigenous Quantitative Research: voices from Australia and New Zealand

Dr Ella Henry1, Professor Maggie Walter2, Associate Professor Carla Houkamau3, Dr Rachel Wolfgramm3, Professor Charles Crothers1

1Auckland University of Technology, 2University of Tasmania, 3University of Auckland

Quantitative research, by, with and for Indigenous peoples is a contested domain (Chillisa, 2011; Smith, 1999). Walter and Anderson provide the definitive discussion on Indigenous quantitative research. They state that, “For Indigenous peoples, especially in first world countries where population statistics powerfully influence government and social services, these numbers have become a foundational lens through which we, as Indigenous peoples, become known to our respective nation states and how we engage in many of our relationships with government actors” (2013, p. 7). As stated by Coburn, in her review of their text on Indigenous statistics, “from an outsider, non-Indigenous perspective, Walter and Andersen “awaken” both Indigenous and non-Indigenous scholars and policy makers. They raise critical concerns around quantitative methodologies, arguing for new approaches to producing statistical data “by and for” diverse Indigenous peoples” (2015, 123). This view is mirrored by Māori scholar Linda Smith, whose work on decolonizing methodologies, is “concerned not so much with the actual technique of selecting a method but much more with the context in which research problems are conceptualized and designed” (2013, i). More recent research highlights the importance of collecting aspirational rather than disparity data from Indigenous peoples (Henry and Crothers, 2019). Other issues of concern relate to data sovereignty, which informs the work of Te Mana Raraunga, the Māori Data Sovereignty Network in New Zealand. This is the milieu into which this Research Symposium/Workshop will provide a pathway for Indigenous and other scholars, with an interest in, and commitment to, these views, may share their thinking and explore opportunities for collaboration, co-creation and a potential opportunity for further theorizing and publication.

5

My Brilliant Career: Building an academic career in the 21st century Or I get by with a little help from my e-friend

Professor Peter Holland1, Professor Ruth McPhail2, Professor Chris Brewster3, Dr Renee Paulet4, Dr Alan Montague5, Dr Andrei Lux6, Dr Christiana Liang7, Professor Lee Di Milia7

1Swinburne University of Technology, 2Griffith University, 3University of Reading, 4Federation University Australia, 5RMIT, 6Edith Cowan University, 7CQUniversity

At the cusp of the 4th industrial revolution we know that such change brings with it constructive and destructive winds of change. Various kinds of work become redundant and other kinds of work have been created. What is part of the coming revolution in work and employment is that increasingly new kinds of work can also be performed by robots and AI. In this fourth industrial revolution a combination of communication technologies and artificial intelligence (AI) is providing machines with ever more human-like capacity to sense, reason, understand and learn, so that they will increasingly be able to replace human workers. Klaus Schwab (2016), the founder of the World Economic Forum, said that "the single most important challenge facing humanity today is how to understand and shape the new technology revolution". In the past this has been a far from comfortable process. What is also significant about this revolution is the depth and breadth of changes that are potentially occurring in high-skilled white-collar jobs. In particular the role and function of academics. Already lectures can be recorded but in the key area of research the focus of a contemporary academic career – machines can increasingly do the literature review and potentially the research.

So to compete in this new workplace would you consider having a micro-chip implanted in your temple to increase you power to process and produce academic work in order to complete with AI in age the machine

We intend to debate this with 6 panel members – 3 for and 3 against micro-chipping and at the end of the debate let the audience decide

6

Take Your Lead with the Journal of Management & Organization: Making Our Work Intellectually and Societally Impactful – In Dedication to Professor Ken Parry

Associate Professor Oluremi Ayoko1, Professor Brad Jackson2

1University of Queensland, 2Griffith University

This highly interactive and energising workshop will examine the past, present and the future of the Journal of Management and Organization (JMO), the research journal of the Australian and New Zealand Academy of Management (ANZAM). We will draw inspiration from the founding editor of the journal, Professor Ken Parry, who passed away in February 2018. The workshop will begin by reviewing the main achievements of the journal since its inception in 1995 as JANZAM and its reincarnation in 2006 as JMO.

The first interactive panel within the workshop will feature some of the co-editors and authors for the May 2019 JMO Special Issue (SI) that was dedicated to Ken Parry. The SI was entitled 'Take Your Lead: Very Short, Fairly Interesting, and Reasonably Impactful Contributions to the Future of Leadership Studies'. The panel will collectively reflect on Ken's work and his academic leadership and how this has influenced and guided their research and teaching. Together with attendees, they will seek to identify the key challenges that lie ahead not only for JMO but Leadership and Management journals in general to enable the development of the Wicked Solutions to the Wicked Problems foregrounded in the ANZAM conference theme that were a central preoccupation of Professor Parry throughout his career.

Panellists include:

- Professor Steve Kempster, Lancaster University
- Professor Kevin Lowe, University of Sydney
- Emma Watton, Lancaster University
- Dr Melanie Kan, Deakin University

The second panel will feature the current Editor and the Associate Editors of JMO and will be dedicated to discussing current and future plans for the journal and responding to the questions and challenges that are generated by the first panel and the audience.

Panellists include:

- Dr Andrei Lux, Edith Cowan University
- Dr Paula O'Kane, University of Otago
- Dr Geoff Plimmer, Victoria University of Wellington
- Associate Professor Sara Walton, University of Otago

7

Design Thinking – How Design Thinking could be applied to enlist engagement in organisational improvement or change – a Reverse Engineered and challenging new DT model!

Dr Rose Kling1

1University of Tasmania

Design Thinking is not a new concept; it has relevance to organisational culture, organisational change, learning and development, entrepreneurship, and more. However, for developing new ideas, or evaluating solutions to problems, a reverse engineered Design Thinking system has the potential to increase clarity, relevance, solutions and implementation of new ideas or the development of new ideas. This workshop will investigate several common organisational problems (some of which are wicked!) using an innovative, complex, intersecting and alternative design thinking process.

In today's business world there are often many complicated and competing pressures on employers and employee teaMs Being able to isolate, interrogate, design, build and evaluate possible solutions, prior to implementation by using a reverse Design Thinking structure and problem-solving processes, would be of value to all organisations.

Delegates who attend this session will get an overview of Design Thinking, as well as hands-on experience of some Design Thinking methodologies in a facilitated workshop format, which will give participants the opportunity to actively participate in Design Thinking. The workshop will allow participants to understand how Design Thinking can be applied in many ways.

8

How to write research methods papers for publication

Associate Professor Tine Koehler1, Professor Bill Harley1, Ms Zitong Sheng2, Dr Paula O'Kane3

1 The University of Melbourne, 2Curtin University, 3University of Otago

Research methods are the tools of our trade. However, despite extensive methods training in most doctoral programs, only a relatively small percentage of management academics publish on research methods innovations or applications. In this workshop, we want to encourage researchers who do not perceive themselves to be specialist methodologists, yet engage in research methods innovations, to consider publishing these innovations.

Research methods innovations come in many forms: Finding new applications in our field for existing methods from other fields, applying an often-used methodology in our field in a new way, critiquing the inappropriate use or reporting of research methods, developing new methods and formulae that improve existing methods, and many more. In our experience, non-methodologists often think that research methods papers require an intimate knowledge of formulae and statistics (at least for quantitative methods improvements) to publish something relevant. Qualitative researchers often feel that the methodological variations and adaptations they design in their own work may not be worthy of publication and may be too simplistic or too specific to their own research context. In our conversations with authors who engage in methods innovations very often the ideas are actually quite interesting and would make for a relevant contribution to the research methods literature if they were written up in a way that properly situates them in the existing, related research methods literature.

We as a team of current and past editors of renowned management journals, authors of research methods scholarship in top journals, and research methodologists at different career stages, want to engage with researchers who do not consider themselves methodologists more directly to share with them the kind of research methods innovations that can be published. We also provide a research incubator platform where prospective authors can share their ideas for research methods scholarship and receive feedback.

9

Academic Review Workshop: Editor Perspectives on the Craft of Peer Review

Professor Kevin Lowe1

1University of Sydney

Academic review is a professional responsibility and is important for maintaining and evolving the professional standards of the field (Trevino, 2008; Hempel, 2014). Academic review influences subsequent topic choice, research framing, and research presentation. Academic review, as a determinant of publication, factors heavily into promotion and tenure decisions and for some individuals may influence professional self-evaluation. Academic review is also one key determinant of editorial board membership which is often viewed as a conferral of status and/or affirmation of professional skills that provides both intrinsic and perhaps extrinsic rewards. Yet it is clear that not everyone knows what constitutes a good review (Lepak, 2009), that more mentoring of reviewers is needed (Carpenter, 2009; Sullivan, Baruch, & Schepmyer, 2010) and the field needs help in moving toward norms that encourage and reward effective reviewing (Tsui and Hollenbeck, 2009) rather than reviews that are akin to getting a root canal (Miller& Van de Ven, 2015).

This session will provide insights into the game of peer review (Raelin, 2008) by providing the perspectives of the ultimate arbitrators of the review process, the Editors. In this session the Editors will provide insights into what constitutes high quality reviewing, less desirable reviewing practices, and best practices in the craft of peer review. Attendees will also gain insight into the convergence and divergence of these practices, as well as current editor experiences and preferences, across a range of management journals.

The panellists, all currently serving as Editors, are:

- Kevin Lowe — The Leadership Quarterly
- Brad Jackson — Leadership
- Peter Jordan — Australian Journal of Management
- Remi Ayoko — Journal of Management & Organization
- Sarah Robinson — European Management Journal
- Herman Tse — Journal of Organizational Behavior

10

High Engagement and Student Focussed: Block Model Delivery of an Introduction to Management Unit of Study

Dr Alan McWilliams1

1Victoria University First Year College

Universities in the 21st century are mostly delivering courses in a manner that has not changed substantially for several decades, if not longer. Technological enhancements, such as online Learning Management Systems, subject content presented via rich multimedia and other electronic resources have enhanced and extended the life of the traditional model of delivery but not fundamentally changed it. The mainstay of teaching remains the lecture and tutorial, taken by students in a timetable of groups of four (or more) subjects taken simultaneously in a semester of 12 weeks. At the end of each twelve-week semester students will sit multiple exams crammed into a brief period of two or four weeks.

The block teaching model adopted by Victoria University in Melbourne has reshaped the landscape of undergraduate teaching and learning by organising units of study into a sequential structure of blocks. The VU Block Model has been designed to provide a focused form of study for university students that de-clutters the traditional university approach by having students study one unit of study at a time. Assessment is evenly distributed across the four weeks of the block, and in all but exceptional instances exams have been “retired”. The VU Block Model replaces the pattern of lectures and tutorials for four or more units of study taken simultaneously over a twelve-week semester with an exam period added at the end.

This workshop will introduce the VU Block Model, provide an overview of the aims of the model, describe the challenges faced in introducing the model and how they have been overcome. The workshop will include an interactive example of a block model activity used in an introduction to management unit, which will provide participants with an appreciation of the student experience of the VU Block Model.

11

Teaching Teamwork Skills and Knowledge to First-Year Undergraduate Students

Dr Elizabeth Nichols1, Dr Marissa Edwards1

1University of Queensland

Students face a number of adjustments when transitioning to university, with research showing significant changes in academic demands, living environment, and social networks. In addition, university educators assume first-year students arrive prepared for the learning environment. The ability to work in teams is one such assumption with the expectation first-year students can work in teams to complete assessment tasks. Research shows that students have mixed views about teamwork. Some view teamwork positively in providing better outputs, increased ideas, improved learning experience, and reduced workloads. The negative impressions of teamwork involve lack of control over grades, social loafing of team members, competing coursework demands, and difficulties associated with scheduling meetings. Providing students with the skills in managing teamwork fills the gap between educators assumed level of student skill and students' actual abilities. By explicitly teaching first-year students teamwork knowledge and skills provides a foundation for future teamwork both at university and future careers. Ideally, the course should be a compulsory first-year course, thus preparing students for progression to advanced courses involving teamwork. Specifically we will explore how educators can: (1) improve students' teamwork skills, knowledge, and abilities, (2) increase students' awareness of the differences between individuals and how differences effectively contribute to a team environment, (3) aid in the effectiveness of teams, and (4) help transition first-year students into a university learning environment. In the final parts of the workshop, participants will engage in a team activity followed by a debrief of their experience. Upon completion of this workshop, educators will have a greater understanding of the challenges students experience when working in teams especially when associated with assessment tasks; increased awareness of the need to support students in developing an effective team; and a range of effective activities suitable for developing teamwork capabilities. Materials will be provided during the workshop.

12

Establishing and contributing to large research projects - Grant applications, getting the right team, preparing for both academic and practitioner outputs

Dr Geoff Plimmer1, Professor Melanie Bryant2, Associate Professor Sara Walton3

1Victoria University of Wellington, 2University of Tasmania, 3University of Otago

This workshop aims to develop skills to establish, lead and participate in large research projects, that are often supported by business. It will cover both formal and informal rules, and both leadership and followership. Although the facilitators are all experienced with large research projects, we see the process as a learning journey. Our aim is to have a group discussion of lessons learnt and to draw insights from both practice and research. In this session we will cover topics such as forming a good team, expectations around work and publication, and working with clients to get both research outputs and good engagement with industry. From this workshop we hope to develop and circulate summary notes to attendees.

13

Opening up publishing for early career researchers

Professor Sarah Robinson1

1University of Glasgow

This workshop is aimed at early career researchers (ECRs) in helping them to understand the processes of publishing through opening up all the different parts of the publication process and exploring the challenges each may bring. This workshop aims to help ECRs to navigate publication process in the following ways:

Firstly, we will focus on how to prepare a paper for publication and how to decide it is ready to submit

Secondly, will look at look how to identify the 'right' journal for individual papers including understanding the audience and the scope and aim of journals

Thirdly, we touch on getting help and advice throughout the process including the role of editors, mentors and 'critical friends'

Fourthly, we open up issues relating to dealing with rejection and (harsh) criticism as well as developing strategies for responding to reviewers.

Participants will be given the opportunity to discuss their current publishing challenges in groups, to share experience and to prepare questions which will then be discussed in open plenary

Finally, I will give a short presentation of European Management Journal (EMJ) for participants to consider as a suitable outlet for their work where relevant.

Attendees will benefit by learning from a journal editor's "insiders' view" of publishing and her own up and down experiences of the publishing process from an author's perspective. They will also learn from groupwork discussion and the sharing ECR publishing experiences. They will benefit from the networking opportunity to spend time other ECRs and to build up their peer support networks.

14

Academic activism: The enduring legacy of Indigenous management scholarship

Dr Diane Ruwhiu1, Mr Mark Jones2, Professor Mark Rose2

1University of Otago, 2RMIT

Many Indigenous scholars in field of business and management through the very nature of our research engage in subtle and not so subtle forms of activism. Our work, in both research and teaching, challenges the status quo in the academy and as a consequence it can expose us to attacks on our epistemologies, identities, relevance and robustness of our research, teaching pedagogies, threats to security and advancement, and disciplinary pressures.

The aim of this workshop is to explore the tension that resides in the Indigenous experience of the management academy as we push boundaries and battle the colonial norms of academic 'excellence' within which management and organisational knowledge resides. An experience, which as Indigenous academics can leave us exposed, vulnerable and grasping to hold onto a fragile sense of identity in the academy. Yet, in the complex reality of driving a decolonising movement through the scholarship and practice of management organising and knowledge, we must also acknowledge the beauty and potentiality of enduring transformation, wherein Indigenous knowledge strengthens and enhances management research, theory and practice.

As Indigenous management scholars, whilst we acknowledge the colonial experience which has through generations directly and sublty influenced our identity and position, we do not let that define us. Our aim is to enable the powerful experiences of our activism to express our anger and hope, frustration and aspiration as we continue to progress the Indigenous impact on the management academy. This workshop draws from our collective learnings and insight to offer safe ground on which to continue the enduring legacy of resistance and transformation in management scholarship.

15

Social Media for academics - building networks and communicating research online

Ms Helen Taylor1

1University of Technology Sydney

The purpose of this workshop will be to inform and empower academics and researchers who are new to or curious about how to bring their work to social media platforMs In a 1.5 hour session we will discuss Twitter and LinkedIn specifically, working through some basic how-to instructions as well as considering the best way to make use of these platforMs Participants will come away with a good grounding in professional social media use, equipped to engage in online networks including building connections with ANZAM.

16

Emotions and Cognitions in the Rough – Project/Paper Development Workshop

Associate Professor Herman Tse1, Professor Neal Ashkanasy2, Professor Peter Jordan3, Professor Kevin Lowe4, Professor Ashlea Troth3

1Monash University, 2University of Queensland, 3Griffith University, 4University of Sydney

Do you do research on emotions, cognitions, creativity, leadership, transactive memory, attributions, team cognitive processes, identity, organisational-level cognitions and strategy, learning, motivation or other related areas? Do you want some feedback on an early-stage research project or research paper? Based on the incredibly successful Managerial & Organisational Cognition (MOC) Division's workshop at the Academy of Management, the associated Emotions and Cognitions (EAC) subgroup brings you our own ANZAM Emotions & Cognition in the Rough. This workshop will provide you with a safe environment to discuss your research and your thinking. You will be in a small group with peers and senior researchers who will provide you with detailed and constructive feedback. Before coming you must submit a short 3-5 page outline of your research or your paper to be discussed. You must also be prepared to comment on and provide feedback to your peers. Pre-registration is essential as numbers are limited.

3–6 December 2019
Cairns, Queensland, Australia

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