34th Annual Australian & New Zealand
Academy of Management Conference

BOUNCING BACK:
INNOVATIVE MANAGEMENT
IN TURBULENT TIMES

PROGRAM

1-2 December 2021
Virtual Format

2021 STREAM CHAIRS

STREAM	CHAIRS
1. Human Resource Management	Dr Justine Ferrer Dr Diep Nguyen
2. Organisational Behaviour	Dr Andrei Lux A/Prof Joe Jiang
3. Sustainability and Social Issues	Dr Mehran Nejati A/Prof Eva Collins
4. Gender, Diversity and Indigeneity	Dr Diana Rajendran A/Prof Ella Henry
5. Entrepreneurship and SMEs	Dr Tanya Jurado Dr Stephanie Macht
6. Leadership, Governance and Strategy	A/Prof Herman Tse Dr Pieter-Jan Bezemer
7. Teaching and Learning	Dr Peter McLean Dr Laura Rook
8. Business Processes, Innovation and Supply Chain	A/Prof Arun Elias Dr Matthew Pepper
9. Health Management and Organisation	A/Prof Ann Dadich A/Prof Ben Farr-Wharton
10. Public Sector, NGOs and Not-for-Profit	Dr Matthew Xerri Dr Geoff Plimmer

CONFERENCE CHAIRS' WELCOME

We are delighted to welcome you all to the first ever virtual ANZAM Conference. Over the next two days you will find all of your favourite activities, including keynotes, workshops, papers, and various meetings and forums.

Our virtual online ANZAM Conference stands in place of the traditional on-site conferences that have been running since the mid-90s. We wish that you all could have joined us here in Perth, and yet this new format speaks to the theme of the conference around innovative approaches to management in that much of our work lives are likely to take on a more virtual dimension.

ECU is extremely pleased to host the event in 2021 at a time when academics more than ever need to come together and work collaboratively. In times of change, skilled leaders and managers are in the highest demand, and you as management educators and researchers are at the heart of building that managerial capacity. Universities, at least in Australia, have likely never faced such significant challenges, but your willingness to engage in this new format shows that resilience across the sector to deal with management issues is as strong as ever.

We are so excited to see people from all over the region join us to learn from each other, contribute to management scholarship, and develop their careers. We hope that this virtual format will offer us all new ways to interact and engage with one-another.

The breadth of the region means that timezones have created unique challenges, but we hope that you will find a wide selection of excellent keynotes, workshops, and papers across different topics that will give you reason to either get up early or stay late, depending on where you reside.

The keynotes will play at specific times throughout the program and will remain available afterward. Workshops will be held live in a virtual meeting format. Paper presentations are pre-recorded and will become available during their designated session. Workshops, paper presentations, and meetings run concurrently so that you will always have plenty of exciting content to choose from.

Our thanks go out to the ANZAM Board, the Conference Organising Committee at ECU, the team at ConSol, our Stream Chairs, the reviewers, and of course yourselves as participants in our first ever virtual ANZAM Conference. Enjoy!

Professor Peter Galvin
Dr Andrei Lux

2021 PROGRAM OUTLINE

WEDNESDAY	
AEDT GMT +11	**1 December 2021**
10:00 AM	Welcome
10:20 AM	**KEYNOTE 1** - ECU, Graham Kerr
11:20 AM	Break
11:40 AM	**SESSION 1** - Papers - Workshops - SIG Convenors' Meeting
1:20 PM	Break
1:40 PM	**KEYNOTE 2** - DEAKIN, Panel
2:40 PM	Break
3:00 PM	**SESSION 2** - Papers - Workshops
4:40 PM	Break
5:00 PM	**SESSION 3** - Papers - Workshops - JMO Editors' Meeting
6:40 PM	**End of Day 1**

THURSDAY	
AEDT GMT +11	**2 December 2021**
10:00 AM	**KEYNOTE 3** - AUT, Panel
11:00 AM	**AGM & AWARDS**
11:40 AM	Break
12:00 PM	**SESSION 4** - Papers - Workshops - Educator Masterclass
1:40 PM	Break
2:00 PM	**SESSION 5** - Papers - Workshops - Stream Chair Debrief
3:40 PM	Break
4:00 PM	**SESSION 6** - Papers - Workshops - Meet the Editors
5:40 PM	**Conference Close**

2021 PROGRAM

WELCOME	10:00 AM AEDT (GMT +11)
ANZAM President's Welcome	*Professor **Kerry Brown**, ANZAM President*
Official Opening of the 34th ANZAM Conference	*Professor **Maryam Omari**, Executive Dean School of Business and Law* *Professor **Peter Galvin** and Dr **Andrei Lux**,* *2021 ANZAM Conference Chairs*

KEYNOTE 1	10:20 AM AEDT (GMT +11)
Leadership in a Changing World	***Graham Kerr**, CEO South32*

BREAK	11:20 AM AEDT (GMT +11)

CONCURRENT SESSION 1	11:40 AM AEDT (GMT +11)
Meetings	
Special Interest Group (SIG) Convenors' Meeting	***Kerry Brown**, ANZAM President*
Workshops	
Management Education for Social Impact	*Hafsa Ahmed, Brad Jackson, Kate Kearins, and Rowena Barrett*
Methods Malpractice & Remedies	*Tine Köhler, Jeremy Schoen, Zitong Sheng, Wai Hung Gordon Cheung, and Mark Griffin*
Indigenising Management Education	*Diane Ruwhiu, Ella Henry, Michelle Evans, Mark Jones, Mark Rose, Jarrod Haar, Kiri Dell, Kevin Moore, Sharlene Leroy-Dyer, and Jason Mika*
1. Human Resource Management	
80 Middle manager resistance to, or acceptance of organisational change in public sector organisations	*Julia Ashton-Sayers, Yvonne Brunetto, and Silvia Nelson*

All times are in Australian Eastern Daylight Time (AEDT, GMT +11)

57	Corporate governance of subsidiaries: Principal-principal challenges for multinational corporations in emerging markets	*Alice Klettner, and Alison Atherton*
7. Teaching and Learning		
108	Escaping the tedium of online classes: Developing and running an online escape room activity for management education	*Geoffrey Chapman, Stephanie Macht, and Anthony Weber*
8. Business Processes, Innovation and Supply Chain		
95	Lean six sigma implementation in the New Zealand public sector: Critical success factors	*Arun Elias*
98	Trust, skills, and humans: A case study of automation in the transportation industry	*Patricia Hubbard, Bridgette Sullivan-Taylor, Michael Myers, and Peter Smith*
110	Do all roads lead to Rome? A multi-case analysis of informal learning and innovation	*Joyce Klein Marodin*
9. Health Management and Organisation		
119	Attracting and retaining a regional aged care workforce: Overview of the research context and directions for research	*Linda Colley, Upamali Amarakoon, Sardana Khan, and Khouloud Kamalmaz*
10. Public Sector, NGOs and Not-for-Profit		
10	"The mother campus is far, far better than here": Managing equivalence issues in global university branch campuses	*Heather Swenddal, Mathews Nkhoma, and Sarah Gumbley*
77	Regulatory coherence of ASEAN bank governance: Corporate governance indices measurement approach	*Youradin Seng, Anona Armstrong, and Sardar Islam*

BREAK	**1:20 PM AEDT (GMT +11)**

KEYNOTE 2	**1:40 PM AEDT (GMT +11)**
Mental Health in the Workplace	**Andrew Noblet**, *Professor Deakin Business School* **Kym Pfitzner**, *CEO Australian Red Cross* **Linda Hunt,** *Working Well in Wellington Project Manager, Wellington Primary Care Partnership* **Colin Radford**, *CEO WorkSafe Victoria* Facilitator: **Amanda Pyman**, *Dean Deakin Business School*

BREAK	2:40 PM AEDT (GMT +11)

CONCURRENT SESSION 2	3:00 PM AEDT (GMT +11)

Workshops

Creating Industry Podcasts for Learning	*Jannine Williams, Melinda Laundon, and Penny Williams*
Mental Health in Business Schools	*Hafsa Ahmed, Neal Ashkanasy, Melanie Bryant, Marissa Edwards, Jemma King, and Kevin Lo*

1. Human Resource Management

101	Exploring the role of reflection in individual foresight in organisations: A human resource management perspective	*Melissa Innes, Karen Becker, and Wayne Graham*
113	The moderating effect of performance appraisal on the relationship between compensation and benefits and employee turnover intention: A case of the Sri Lankan IT sector	*Senthinathan Suthan, Dharshani Thennakoon, and Deepika Wijesingha*
145	The role of three HR professional associations during the pandemic	*John Molineux, Ros Cameron, and Reshman Tabassum*

2. Organisational Behaviour

25	Exploring shift in meanings of work: Qualitative study among women entrepreneurs	*Jince Gomez, and Shivganesh Bhargava*
49	Authentic leadership: A meta-analysis and test for cultural value differences	*Andrei Lux, and Kevin Lowe*
6	Mindfulness-based programme: Understanding the experience of Singapore employees	*Kala S Retna*
90	Necessary evil but necessary guilt? Exploring how perceived work as a calling influences individuals' felt guilt after making tough decisions	*Amber Yun-ping Lee, and Chia-Yen (Chad) Chiu*

3. Sustainability and Social Issues

48	A circular experience with opportunities for SMEs to leverage clothing recycling	*Sardana Islam Khan, Michael Shaw, and Priyantha Bandara*
120	Enhancing social cohesion in the community: The role of social enterprises	*Pradeep Hota, Babita Bhatt, and Israr Qureshi*
131	Grand societal challenge in climate change: Intertemporal tension in business sustainability	*Zhiwen Zheng, and Lumeng Yu*

4. Gender, Diversity and Indigeneity

71	Australia, Victorian treaty, voices and identity through an indigenous standpoint theoretical lens	*Kevin Moore, Pauline Stanton, and Mark Jones*

| 107 | Catering to the needs of Gen Z project managers: Early career perspectives on university and employer initiatives that foster work readiness | *Naomi Borg, Jessica Borg, and Christina M. Scott-Young* |

5. Entrepreneurship and SMEs

| 7 | Has COVID-19 made SMEs more open to ICT adoption? Insights from the Philippines | *Ian Jester De Vera, Ross Chapman, and Vanita Yadav* |
| 40 | Individual entrepreneurial orientation: Towards a psychological model | *Anke Steinmeyer, and Justin B. Craig* |

6. Leadership, Governance and Strategy

| 103 | Does responsible leadership help banks perform and build higher reputation? Exploring the mediating effect of employee turnover intention | *Amlan Haque, Shafiqur Rahman, and Farid Ahammad Sobhani* |

7. Teaching and Learning

| 157 | An autoethnography of an award-winning teaching application | *David Wong, and Mary Anthony* |

8. Business Processes, Innovation and Supply Chain

3	Developing soft and hard skills oriented to lean production	*Guilherme Luz Tortorella, and Ana Paula Lista*
15	An empirical study on industry 4.0 and total productive maintenance	*Zahra Seyedghorban, Guilherme Luz Tortorella*
24	The conceptual model of key stakeholders' influence on blockchain implementation	*Kongmanas Yavaprabhas, Zahra Seyedghorban, Daniel Samson, and Sherah Kurnia*

9. Health Management and Organisation

| 46 | How Kotter can help to end tent cities | *Ann Dadich, Benedict Osei Asibey, and Elizabeth Conroy* |

10. Public Sector, NGOs and Not-for-Profit

| 22 | Psychosocial safety climate, stress, wellbeing and performance of Australian healthcare street level bureaucrats during the COVID 19 pandemic | *Yvonne Brunetto, Matthew J. Xerri, and Benjamin Farr-Wharton* |

BREAK **4:40 PM AEDT (GMT +11)**

CONCURRENT SESSION 3	5:00 PM AEDT (GMT +11)
Meetings	
Journal of Management & Organization (JMO) Associate Editors' Meeting	*Remi Ayoko, Editor in Chief JMO*
Workshops	
Different Models of Career Success	*Wai Hung Gordon Cheung, Bill Harley, Tine Köhler, Leisa Sargent, and Daiane Scaraboto*
Building an MBA Teaching Portfolio	*Peter Galvin, Tim O'Shannassy, and Gary Bowman*
1. Human Resource Management	
139 Do engaged employees create resources daily? The role of family-to-work conflict and conscientiousness	*Urvashi Jha, and Kapil Verma*
2. Organisational Behaviour	
28 Work outcomes of living a calling: Mediating role of thriving at work and moderating role of proactive personality	*Jince Gomez, and Shivganesh Bhargava*
54 Relational facets of employee voice: An interactive qualitative analysis	*Nabila Khan, and Lata Dyaram*
58 A bibliometric investigation of conflict management in virtual teams	*Mariya Kargina, Andrea Caputo, and Massimiliano Matteo Pellegrini*
141 Management issues and approaches of non-profit operations: A perspective on operations management	*Zaib Maroof, Muhammad Jawad, and Munazza Naz*
148 My batteries are charged when I'm around people: Reflections on a year of disconnection from workplace relationships	*Ann Parkinson*
3. Sustainability and Social Issues	
59 Sustainable human resource management: A systematic literature review	*Anjali G Nath, and Rupesh Kumar Pati*
147 Exploring dignity experiences of migrant workers in India: Towards a conceptual model	*Ameesh Samalopanan, and Vijayalakshmi Balasubramaniam*
4. Gender, Diversity and Indigeneity	
99 Career insights from composite narratives: Women's academic careers in Saudi Arabia	*Johara Alslmee*
115 Diversity management lessons from skilled migrants' 'success' stories	*Melissa Parris, Uma Jogulu, and Juliana Mutum*
5. Entrepreneurship and SMEs	
76 Building business resilience in the era of COVID-19 on micro, small and medium businesses	*Subhadarsini Parida, Thi Le, Fleur Yardena Sharafizad, Jalleh Sharafizad, Ferry Jie, and Kerry Brown*

| 155 | Entrepreneurial competency and relationship quality in Vietnamese logistics SMEs: An integrated structural model approach | *Minh Anderson, Pi-Shen Seet, Ferry Jie, and Julie Crews* |

6. Leadership, Governance and Strategy

| 123 | Exploring agile project governance | *Mansoor Mohammed, and Louis J. Taborda* |

7. Teaching and Learning

| 65 | Positioning business and management education for purpose and impact: Does the PRME offer enough? | *Hafsa Ahmed, Wim de Koning, and Uggalla Arachchige Hashika Aroshini Rathnasiri* |

8. Business Processes, Innovation and Supply Chain

| 19 | Proactiveness, business ties, and ambidextrous innovations | *Chen Han* |
| 135 | New forms of product design concept selection: Data focus | *Olga Shvetsova* |

10. Public Sector, NGOs and Not-for-Profit

| 68 | Australian arts and culture: Exploring value co-creation for sustainability | *Ingrid O'Brien, Anne Peachey and Megan Paull* |

END OF DAY 1   **6:40 PM AEDT (GMT +11)**

KEYNOTE 3	10:00 AM AEDT (GMT +11)
Leading and Strategizing for a Changing World	**Niall Martin**, *Quality and Safety Liaison Manager Air New Zealand* **Lester Levy**, *Professor Auckland University of Technology* **Joy Walpole-Leva'a**, *Solicitor/Advocate NZALPA and President National Council of Women of New Zealand* **Rhonda Kite**, *CEO Kiwa Media Group* Facilitator: **Ceinwen McNeil**, *CEO BVT Engineering*

AGM & AWARDS	11:00 AM AEDT (GMT +11)
ANZAM Annual General Meeting *(all delegates welcome to attend)*	**Kerry Brown**, *ANZAM President*
ANZAM Awards Presentation Ceremony	**Peter Galvin** and **Andrei Lux**, *2021 ANZAM Conference Chairs*

BREAK	11:40 AM AEDT (GMT +11)

CONCURRENT SESSION 4	12:00 PM AEDT (GMT +11)
Workshops	
Testing Moderation with Latent Variables	*Gordon Cheung and Helena Cooper-Thomas*
Publishing in Management Education Journals	*Todd Bridgman, Marissa Edwards, Paul Hibbert, Jennifer Leigh, and Martyna Sliwa*
Educator Masterclass: Developing an Innovative Teaching Practice	*Stuart Middleton*
1. Human Resource Management	
5 The joint impact of HRM attributions and HRM system consistency on employee well-being: A two-wave study	*Qijie Xiao*
8 'Taking them under the wing': Project-based organisations' responsibilities to their early career project management practitioners	*Jessica Borg, and Christina M. Scott-Young*
127 Want a playful job? The influence of play on job choice decisions	*Peisen Xu, and David Cheng*

2. Organisational Behaviour

82	Exploring antecedents and consequences of employee branding	*Bright Malema Mbeye, Chia-wu Lin, Kai-yu Wang, Wen-Chi Huang, and Chia-yen Wu*
21	Are New Zealand workers burnt to a crisp? Examining determinants of employee burnt-out	*Jarrod Haar*
94	Narcissistic leadership and employees' workplace flourishing: A conceptual model	*Theophilus Tagoe, Paul Gollan, Alfredo Paloyo, and Shamika Almeida*
130	Seeing success through rose colored glasses: On the "positivity bias" in job performance research	*Benjamin Walker, Christian Criado-Perez, Ludvig Helldén, Rebecca Kimpton, and Gray Ryburn*

3. Sustainability and Social Issues

81	The trust deficit between financial advisers & planners and clients: Reform implications for the industry and higher education providers	*Subas Dhakal, and Josie Fisher*
89	Barriers to circular economy: Lessons learned and the path ahead	*Swati Awana, Meena Chavan, and Max Ganzin*
136	Disasters and international business: A mixed effect analysis and implications for practitioners	*Linglin Zheng, and Heidi Wechtler*

4. Gender, Diversity and Indigeneity

29	Accountability frameworks for indigenous financial institutions: A cross-cultural comparison (Australia, Canada and New Zealand)	*Ella Henry, Bettina Schneider, and Andre Poyser*
67	Gender equality in the finance industry: The challenging 'last mile'	*Isabel Metz, and Carol T. Kulik*

5. Entrepreneurship and SMEs

47	Factors influencing the revival of declining small businesses in Australia	*Sardana Islam Khan, Ho Yin Wong, Tasmiha Tarafder, and Parves Sultan*
85	Entrepreneurship as a pathway to refugee resettlement: A literature review and future research directions	*Kolawole Fatokun, and Paresha Sinha*

6. Leadership, Governance and Strategy

20	Differences in directors' selection approaches based on their perceived board capital: A qualitative approach	*Sneh Bhardwaj*
137	Bouncing-back from M&A turbulence: Post-merger integration resilience in the telecommunications industry	*Juhi Jennifer Macwan, Sarah Bankins, Layla Branicki, and Senia Kalfa*

7. Teaching and Learning

86	Cognitive development in the transition from higher education to work through the lens of zone of proximal development: Interpretative phenomenological analysis	*Thapnakvatey Prak, Peter John Sandiford, and Sabine Schuhrer*

8. Business Processes, Innovation and Supply Chain

35	The conceptual model of blockchain implementation for enhancing supply chain resilience in post-disruption management	*Kongmanas Yavaprabhas*
69	Network strategies for environmental collaboration in a supply chain	*Negin Ahmadi Saber Doust, Mark Glynn, Yingzi Xu, and Ivan Russo*
146	Teams' dynamics and innovation: A comparative network analysis	*Joyce Klein Marodin*

9. Health Management and Organisation

45	How do clinicians' professional bodies use social media to promote interprofessional care? An international study	*Ann Dadich, Nazim Taşkin, Mustafa Coşkun, Sharon Williams, Rebecca Wells, Corinne Grenier, Frederic Ponsignon, Shane Scahill, Hoang Chinh Nguyen, and Stephanie Best*

10. Public Sector, NGOs and Not-for-Profit

56	Exploring the culture-effectiveness relationship in WWOOF Australia	*Wendy Pollard, Diana Rajendran, Sen Sendjaya, and Cristina Neesham*

BREAK	**1:40 PM AEDT (GMT +11)**

CONCURRENT SESSION 5	**2:00 PM AEDT (GMT +11)**

Meetings

Stream Chair Debrief	***Peter Galvin*** and ***Andrei Lux****, 2021 ANZAM Conference Chairs*

Workshops

Mental Health for PhD Students and ECAs	*Marissa Edwards, Erin Gallagher, Kevin Lo, and Adam Pervez*
Careers in Critical Management Studies	*Julie Wolfram Cox, Fahreen Alamgir, Laura Visser, Gavin Jack, Michelle Greenwood, and Nick McGuigan*

1. Human Resource Management

50	High-performance work systems, thriving and employee outcomes: Wasta as a boundary condition	*Reem Alothmany, Zhou Jiang, and Ashokkumar Manoharan*
72	HR managers as leaders through paradoxical tensions and toxin handlers: A study of two aged-care organisations in the early days of the COVID-19 pandemic	*Valerie Caines, and Gerry Treuren*

23	Organisational resilience, the way forward by revisiting the past	*Xun (Alice) Yang, Lin Xiong, and Kosmas Smyrnios*
38	Blockchain-enabled supply chain transparency: Conditions, challenges, commitments, and consequences	*Hossein Tahernejad, Ambika Zutshi, and Matthew Mount*
84	Research on supply chain collaboration: A systematic literature review	*Bajjet Naresho, Imran Ali, and Delwar Akbar*

10. Public Sector, NGOs and Not-for-Profit

| 124 | Stakeholder engagement and non-profits: A systematised review | *Khouloud Kamalmaz, Upamali Amarakoon, Susan Bird, and Xiaoyan Liang* |

| **BREAK** | **3:40 PM AEDT (GMT +11)** |

| **CONCURRENT SESSION 6** | **4:00 PM AEDT (GMT +11)** |

Workshops

Meet the Editors	*Remi Ayoko, David Fan, Douglas Cumming, Brian Connelly, Pieter-Jan Bezemer, and Sarah Robinson*
Innovation, Technology, and Post-COVID Disruption	*Carla Dias Wadewitz and Verity Kingsmill*
Video Reflexive Ethnography	*Suyin Hor, Ann Dadich, and Stephanie Best*

1. Human Resource Management

44	Networking behaviours and employee outcomes: Do political skills matter?	*Saroja Kumari Wanigasekara*
122	The impact of the physical environment of work on employee and business outcomes: The mediating effect of perceived support for work	*Sahani Tharushika, Dharshani Thennakoon, and Deepika Wijesingha*
144	An exploration on role duality of internal trainers: A case study of the Sri Lankan apparel sector	*Suzanne Perera, and Dharshani Thennakoon*

2. Organisational Behaviour

26	Perceiving and living a calling: Moderated mediation model of PE fit, work meaning, and need satisfaction	*Jince Gomez, and Shivganesh Bhargava*
32	Turning stress into motivation: Challenge stressors, team identification and employee innovation behaviour of high-tech enterprises—the moderating role of entrepreneurial leadership	*Teng Li, Lingfeng Yi, and Jie Song*
92	Review and empirical analysis of internal marketing psychometric properties	*Fatima Qaisar, and Nazlida Muhamad*

3. Sustainability and Social Issues

43	Small, sustainable but powerful - On the transformation of value chains in the dairy industry in northern Germany	*Susanne Royer, Maike Simon, Luisa Klomburg, and Hanna Siebke*
102	Why do employees respond differently to corporate social responsibility? A study of substantive and symbolic CSR	*Mehran Nejati, and Azadeh Shafaei*
109	Engaging stakeholders in large scale socially oriented projects using an innovative group support system	*Fran Ackermann, Georgina Hill, Euan Harvey, Carmen Elrick-Barr, Julian Clifton, Michael Burton, and Johanna Zimmerhackel*

4. Gender, Diversity and Indigeneity

| 114 | Female academic career progression in Australia – The holding pattern of the worker B's | *Fleur Sharafizad, Uma Jogulu, Kerry Brown, and Maryam Omari* |

5. Entrepreneurship and SMEs

| 132 | Towards a conceptualisation of entrepreneurial wisdom derived from entrepreneurs themselves | *Brad Birt, Georgia Hay, and Jeremy Galbreath* |

7. Teaching and Learning

| 74 | Preparing students for work in a post-pandemic and industry 4.0 world: A model for teaching interpersonal skills in an undergraduate business degree | *Valerie Caines* |

8. Business Processes, Innovation and Supply Chain

| 55 | Professionalism in artificial intelligence: A systems view of the link between technology and ethics | *Anton Klarin, Rifat Sharmelly, and Hossein Ali Abadi* |
| 83 | The transition from conventional to sustainable process: The perspective of Chinese textile and apparel manufacturers | *Shubing Diao, James Earnest, and Paul Alexander* |

10. Public Sector, NGOs and Not-for-Profit

| 66 | Leading through tumultuous events in public sector organisations | *Azadeh Shafaei, Ben Farr-Wharton, Maryam Omari, Julie Ann Pooley, Tim Bentley, Fleur Sharafizad, and Leigh-ann Onnis* |

CONFERENCE CLOSE   **5:40 PM AEDT (GMT +11)**

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16	Toward a Model of Hardiness Development: The Effect of Hope on Hardiness	Chin Heng Low, Paul Lim, and Kevin Koh
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79	Entrepreneurial orientation and export performance of SMES in emerging markets: Towards a casual model of ambidextrous learning and networking	Shanika Perera, Paresha Sinha, and Antoine Gilbert-Saad
39	Unlocking Corporate Social Responsibility of Small and Medium Enterprises in Singapore: Compliance or Conviction?	Ratna Devi Pillai, Pengji Wang, and Adrian Kuah
86	Cognitive development in the transition from higher education to work through the lens of Zone of Proximal Development: Interpretative Phenomenological Analysis	Thapnakvatey Prak, Peter John Sandiford, and Sabine Schuhrer
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77	Regulatory coherence of asean bank governance: Corporate Governance Indices Measurement Approach	Youradin Seng, Anona Armstrong, and Sardar Islam
135	New forms of product design concept selection: data focus	Olga Shvetsova

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Stream 8: Business Process, Innovation and Supply Chain
Abstract Only in Program

Network Strategies for Environmental Collaboration in a Supply Chain

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Stream 8: Business Process, Innovation and Supply Chain
Abstract Only in Program

Network Strategies for Environmental Collaboration in a Supply Chain

ABSTRACT

Environmental collaboration is the fundamental process used to attain green supply chain and circular economy (Dora, 2019). Environmental collaboration is defined as the direct involvement of supply chain partners in jointly planning for environmental management and solutions(Vachon & Klassen, 2008). Addressing environmental objectives is a multifaceted subject that requires the coordination and collaboration of knowledge, capabilities and resources of partners in the supply network (Sheth & Parvatiyar, 2020). This research adopts the theoretical lens of natural resource-based view and relational theory to understand the partner specific resources, capabilities, knowledge and governance needed within a chain for environmental collaboration (Dyer & Hatch, 2006). A qualitative and thematic analysis is used to explore the capacity, scope and role of supply chain partners for environmental collaboration. The sample size of 21 participants compromised of retailers, manufacturers, suppliers, logistics and associations in the furniture industry of Oceania were interviewed. The themes include network exchange, industry unity and associations as facilitators for attaining environmental objectives in a supply chain. By adopting a qualitative method to explore the relational assets embedded in the myriad relationships in the value chain this research contributes to the theoretical understanding of value co-creation in the context of environmental collaboration in the supply chain.

Keywords: environmental collaboration, green production, network strategies

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Stream 3 Sustainability and social issues

Co-creating impact assessment with stakeholders: The social enterprise

balanced scorecard revisited

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Stream 3 Sustainability and social issues

Co-creating impact assessment with stakeholders: The social enterprise

balanced scorecard revisited

ABSTRACT:

Social enterprises offer new and innovative ways to address complex problems by maximising value creation. However, their impact assessment is challenging due to the tensions often created between the heterogeneous stakeholders in their ecosystem. The current literature emphasises the need to develop an appropriate measurement method focusing on all stakeholders that are part of the social ecosystem. From a review of impact assessment literature for social enterprises, this paper focused on the social enterprise balanced scorecard (SEBC) because it is multi-dimensional; however, it does not make stakeholders central to the process and impact assessment method. This paper proposes enhancing the impact assessment of social enterprises by proposing a modified approach to the SEBC driven by stakeholder centricity.

Keywords: social enterprises, impact assessment, partnerships, stakeholders, third sector, goal 17

THE THIRD SECTOR

Social enterprises, also referred to as community enterprises and impact enterprises, are often referred to as the third sector. The phenomenon of social enterprises has experienced significant growth since 2000, driven by the belief that social entrepreneurship is a good thing as it has the potential to solve some critical problems of society (Arena, Azzone, & Bengo, 2015). Social enterprises are focused on meeting social needs, and they occupy a unique space between profit and not-for-profit organisations (Arena et al., 2015; Perrini, Costanzo, & Karatas-Ozkan, 2020). As Ramus and Vaccaro (2017) state, social enterprises offer new and innovative ways to address complex problems without donations or public funds while maintaining conditions of financial self-sustainability through market competition.

The goal for social enterprises is maximising social and/or environmental value creation; hence, their success stories need to be told by a combination of social and financial performance. However, this is not easy and often poses challenges around demonstrating trade-offs between financial versus social and/or environmental gains. Additionally, the presence of heterogeneous stakeholders creates tensions when trying to balance conflicting interests. Social enterprises are driven by social value creation (Perrini et al., 2020); they are focused on demonstrating social impact. However, no single universally accepted definition of social impact is available across the literature. This has led to fragmented and

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divergent literature on measuring social impact; therefore, many social enterprises experience difficulty selecting the best method for measuring social impact. However, the literature emphasises the need to develop an appropriate impact assessment method focusing on all stakeholders of the social ecosystem. This paper aims to review the impact assessment literature as it relates to social enterprises, along with reviewing stakeholder literature. After reviewing existing literature focusing on impact assessment for social enterprises, this paper concentrates on one specific framework – the social enterprise balanced scorecard (SEBC). While SEBC captures stakeholder engagement, it does not make stakeholders central to the process and impact assessment method for social enterprises. Therefore, this paper contributes to enhancing the impact assessment of social enterprises by proposing an approach driven by stakeholder centricity while using SEBC.

The following sections discuss the role of social enterprises, existing literature focusing on impact assessment and the social enterprise balanced scorecard (SEBC). Subsequently, improvements to the SEBC are proposed as part of a discussion on the future of impact assessment.

SOCIAL ENTERPRISES

A purpose drives social enterprises to make a social and/or environmental impact. The term social enterprise is used to address impact-led and trade organisations to deliver positive social, cultural, and environmental outcomes. Since the early 2000, social enterprises have attracted the interest of scholars (Costa & Pesci, 2016; Dacin, Dacin, & Tracey, 2011; Dees, 2012; Pache & Santos, 2013) and continue to remain an area of scholarly pursuit. Social enterprises aim to mind social, cultural, and environmental gaps through a combination of pursuit – economic sustainability and social value creation (Perrini et al., 2020). Governments across the world on regional and national levels have launched programs to support and strengthen their ability to assess the social value generated by social enterprises (Corvo, Pastore, Manti, & Iannaci, 2021). The government-level focus on social enterprises is driven by challenges the state faces due to a growing public demand for goods and services contrasted with a shortage of resources for public financing, including the need to manage public debt alongside an aging population and increased immigration (Tang, Liao, Wan, Herrera-Viedma, & Rosen, 2018). Ramus and Vaccaro (2017) indicate that social enterprises can be highly

successful in addressing complex social issues because of their ability to combine the sense of mission and the resource efficiency of traditional business models. However, maintaining that equilibrium is extremely challenging, with researchers expressing concerns about social enterprises' effectiveness and long-term sustainability (Eikenberry, 2009). Since 2005, studies of social enterprises have focused on models of impact assessment and measurement to capture the social value generated (Corvo et al., 2021).

IMPACT ASSESSMENT

As Costa and Pesci (2016) argue, the focus on impact assessment is driven by the need for accountability from multiple stakeholders of the social enterprises (Arena et al., 2015). One such group of stakeholders, funders and taxpayers, demand the measurement of social impact, which showcases information about their use of resources and funds (Ebrahim & Weisband, 2007). However, the concept of social impact is not easily quantifiable (Ebrahim, Rangan, & Initiative, 2010). The lack of common language and understating of the definition of "social impact" has hampered its assessment. Standards for measuring social impact have not been produced due to the difficulty posed defining social impact comprehensively (Tang et al., 2018). Corvo et al. (2021) and Perrini et al. (2020) made recent attempts at reviewing existing assessment models and providing clarity around the challenges posed by these models. However, both reviews have used Clark, Rosenzweig, Long, and Olsen (2004)'s definition of social impact, i.e., "the portion of the total outcome that occurred as a direct result of the intervention, net of that portion that would have occurred equally without the intervention". Clark et al. (2004)'s study also highlighted measurement methods which relate to three approaches: (i) process, which focuses on output generated by the social enterprise and the effectiveness and efficiency of processes is measured; (ii) method, which assesses the outcomes produced and value created; and (iii) monetisation, where a monetary value associated with the outcomes is determined and compared with the costs.

The presence of different tools and variations in how social enterprises measure their performance creates challenges when trying to compare various organisations within the third sector (Perrini et al., 2020). Additionally, as Corvo et al. (2021) suggested, social enterprises that are smaller in size do not

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have the time or resources to make these assessments. However, there is no "golden standard" applicable to social enterprises (Costa & Pesci, 2016). Often challenges for impact assessment are due to pressures for demonstrating short-term effects rather than long-term impact (Tang et al., 2018).

In reviewing impact assessment for social enterprises, this paper focuses on one specific framework – the social enterprise balanced scorecard (SEBC). The SEBC is discussed below and was chosen as it has gained endorsement from the social enterprises' literature. It is used widely for the impact assessment of social enterprises.

The social enterprise balanced scorecard (SEBC)

The SEBC has been argued to be an appropriate impact assessment tool as it uses a multi-dimensional approach to address the diverse nature of functions undertaken by social enterprises (Mamabolo & Myres, 2020). Although the concept of SEBC is relatively new, the performance measurement tool on which it is based – the balanced scorecard (BSC) – has been used effectively in for-profit entities since the 1990s. Recent studies examining the use of the BSC for social enterprises offer insights into how the tool can be modified for impact assessment (Kaplan & Norton, 2004; Somers, 2005). The use of the BSC is preferred to other measurement tools as it is not based entirely on financial measures and focuses on customers, the organisational internal perspective and learning and growth. As a tool, the BSC has limitations when used for social enterprises (Mamabolo & Myres, 2020). As Somers (2005) and Hubbard (2009) point out, the traditional BSC does not reconcile the tension between generating social impact versus financial profit and is focused on a limited range of stakeholders. To address these limitations, Mamabolo and Myres (2020) propose that the BSC be modified into a SEBC. Table 1 outlines key features of the four perspectives of the traditional BSC alongside the model proposed for social enterprises as presented by Mamabolo and Myres (2020).

INSERT TABLE 1 ABOUT HERE

As Arena et al. (2015) argue, the presence of a heterogeneous set of stakeholders and a variety of objectives and results makes it challenging for performance measurement of social enterprises, subsequently making it harder for impact assessment. Therefore, this paper offers a proposed approach

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for impact assessment using the SEBC, which is driven by stakeholder centricity and the United Nation's Sustainable Development Goal (SDG) 17 focusing on partnerships.

FUTURE OF IMPACT ASSESSMENT

The need for measuring the impact of social enterprises is guided by the notion of improvement for growth and communicating with various stakeholders. It is noteworthy from the SEBC approach for social enterprises captured in Table 1 that central to each aspect is the focus on stakeholder engagement. Mamabolo and Myres (2020) have already suggested that an adapted BSC is essential. However, their proposed SEBC does not make stakeholders central to the process and method of impact assessment for social enterprises. As Tang et al. (2018) have argued while assessing for the impact, the main question needs to be about "who" is affected by the impact discussion. Klemelä (2016) also contributed to this discussion by focusing on the role of legitimation of impact measurement from the perspective of different stakeholders. Nicholls (2005) has also argued that impact measurement should be seen as a negotiation process between stakeholders as such evaluations of impact could be used to "enhance the social mission" of the organisation. Social entrepreneurs need to utilise emergent measurement practices to strategically position their mission's objectives with various stakeholders (Nicholls, 2005). Further Seelos and Mair (2005) suggested that value is created by several different actors involved in the stakeholder ecosystem, beginning with the social entrepreneurs. The mapping of stakeholders and their interests is essential to compare the *ex-ante* situation and the *ex-post* situation (Perrini et al., 2020). However, this paper proposes that social enterprises need to 'jump the curve' and approach stakeholder mapping as an opportunity for co-creating the impact measurement objectives and metrics with all stakeholders who are part of the ecosystem.

Tang et al. (2018) suggested to address the need for measuring impact across the entire ecosystem; there is a need for improved accountability, transparency and stakeholder engagement. Stakeholder engagement becomes central in the discussion of impact assessment as a better understanding of the impact of social enterprises will assist in developing partnerships to support the achievement of goals. The creation of such partnerships becomes significant as organisations, particularly social enterprises,

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strive to achieve or contribute towards the 2030 Agenda consisting of the SDGs and, in particular, SDG 17 – Partnerships for Goals. The specific targets associated with SDG 17 aim to enhance, encourage, and promote multi-stakeholder partnerships for mobilising experiences and resources (MacDonald, Clarke, Huang, Roseland, & Seitanidi, 2018). As Perrini et al. (2020) suggest, it is critical to adopt a single shared measurement process rather than a set of metrics and indicators. They argue that a suitable measurement method should narrate the story behind the creation of change while balancing the needs of other stakeholders through outcomes indicators. A good assessment system that is adequate and effective needs to be "relevant, simple, natural, certain, understood, accepted, transparent, well expressed and evidence-based" (Perrini et al., 2020). This paper argues that a good assessment system can be achieved through partnership and co-creation of impact assessment outcome indicators. This partnership requires engagement with stakeholders defined as "any group or individual who can affect or is affected by achieving the organisation's objectives" (Freeman, 2010).

The stakeholder ecosystem

There is vast literature available on stakeholder engagement, and our analysis of the literature suggests the most effective ways of dealing with stakeholders are based on two aspects: stakeholder salience; and issue salience.

In order to determine stakeholder salience, the literature directs us to identify the attributes exhibited by stakeholders as power, legitimacy and urgency, which are further explained in Table 2 (Mitchell, Agle, & Wood, 1997). By identifying stakeholders based on these attributes, the ability to manage them improves, i.e., by helping social enterprises to identify "to whom" or "to what" they should pay attention (Mitchell et al., 1997). To understand the influence of stakeholders, three questions need to be central for the social enterprise: (1) Who are the stakeholders?; (2) What do they want?; and (3) How are they trying to get what they want? (Ahmed & Cohen, 2019; Frooman, 1999).

Stakeholder influence is unlikely to be considered entirely legitimate without also acknowledging the issue stimulating stakeholders' interest. This is reflected in the concept of issue salience, which determines how much any stakeholders' issue resonates with and is prioritised by the organisation's management (Bundy, Shropshire, & Buchholtz, 2013). This emphasis highlights that responses by

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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 and management's implicit recognition of the views of stakeholder groups (Bundy et al., 2013). Issues can be identified as either consistent, conflicting or unrelated, further explained in Table 2. By determining the issue type, an appropriate response can be implemented by organisations, including accommodation, defence, negotiation or non-response (Ahmed & Cohen, 2019; Bundy et al., 2013).

INSERT TABLE 2 ABOUT HERE

While Mamabolo and Myres (2020) offer us an adapted SEBC with an opportunity for social enterprises to biannually review progress across the four perspectives for reporting purposes, it does not capture how to identify and engage with the stakeholders. Since the SEBC is argued as a tool best suited for reporting social enterprises activities to decision-makers inside and outside the organisation (Mamabolo & Myres, 2020), it is crucial to map the stakeholders effectively. This is a critical area because all aspects of the SEBC mention stakeholder engagement – external and internal. Further, the diversity of social enterprises must be considered. There is a need for a systematic approach to assist social enterprises in determining outcomes and subsequently impact assessment, as the heterogeneous set of stakeholders leads to different information needs, expectations and outcomes.

The proposed approach to impact assessment is modifying the SEBC to ensure a focus on stakeholder engagement and enable social enterprises to contribute to SDG 17, keeping partnership at their core. Further, the modified SEBC provides social enterprises with the ability to: (1) map their stakeholder ecosystem; and (2) provide a stakeholder engagement approach. We argue the modified SEBC focuses on process and method (Clark et al., 2004).

Mapping stakeholder ecosystem

The mapping of stakeholders is a complex task, and it is vital to go beyond the generic classifications of identifying stakeholders as internal, external, primary or secondary, or identifying the interactions stakeholders have with the organisation (Smith, Drumwright, & Gentile, 2010). Mapping the

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stakeholder ecosystem needs to rely on the stakeholder definition provided by Freeman (2010) – "a group or individual which can affect or be affected" by the social enterprises' objectives. Therefore, it is vital to incorporate a view of how different stakeholders might influence any process and contribute to any social enterprise activities. The social enterprise also needs to focus on stakeholder engagement by focusing on the three key questions highlighted earlier: (i) who are the stakeholders? (ii) what do they want? (iii) how are they going to try to get it?

Engagement approach for stakeholders

Social enterprises are faced with the need to balance social and economic missions (Mamabolo & Myres, 2020; Somers, 2005), and the SEBC is identified as an approach to do this well. However, there is a need to develop a clear engagement approach for the mapped stakeholders to ensure the objectives and outcomes are clearly articulated with the social enterprise's mission. Based on an approach proposed by Ahmed (2019), we propose that the engagement approaches for different stakeholders can be determined by: (i) identifying which attributes are exhibited by stakeholders to determine how they would influence the social enterprise; and (ii) identifying the alignment of the stakeholder's vision with the social enterprises' work to identify strategic direction.

Table 3 captures the questions a social enterprise could work through for effective stakeholder engagement, identifying clear outcomes, and consequently improving impact assessment. These questions provide social enterprises with an opportunity to co-create impact assessment objectives and metrics with all stakeholders critical to its ecosystem.

INSERT TABLE 3 ABOUT HERE

CONCLUSION

Impact assessment of social enterprises has been an area gaining interest both from academics and practitioners. The focus on impact assessment is driven by the need for accountability from heterogeneous stakeholders of the social enterprises. This paper reviewed existing literature on the impact assessment of social enterprises and focused on the SEBC framework, which is widely used. However, the SEBC does not make stakeholders central to the process and method of impact

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assessment for social enterprises. By mapping the stakeholders effectively, social enterprises can co-create the impact measurement objectives and metrics with all stakeholders who are part of the ecosystem. Therefore, in this paper, an approach to impact assessment driven by stakeholder centricity is proposed.

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Table 1: The balanced scorecard: Traditional versus social enterprises focused based on Mamabolo & Myres (2020)

BSC Perspective	Traditional	Social enterprises focused
FINANCIAL PERSPECTIVE	Measures financial performance using indicators such as ROA, profit, market share	Modified to measure the "multiple bottom line" which includes indicators for social, environmental, and financial stability; efficiency of budgeting and expenditure management; stakeholders' financial supports, trade-profit performance indicators combining social and economic accountability; and systematic approaches to articulating social accounting. Also referred to as "financial sustainability" which will include stakeholder engagement.
INTERNAL BUSINESS PERSPECTIVE	Measures operating performance (cost, quality and cycle times) of critical processes and measures of innovation processes that create entirely new products and services	Modified to focus on internal structure, managing internal/external communications, quality management systems, flexibility and adaptability including culture, structure and innovation, which creates values for beneficiaries and local community.
CUSTOMER PERSPECTIVE	Measures the performance with targeted customers and market segments by using market share, customer retention, new customer acquisition and customer profitability.	Modified to measure a stakeholder environment perspective where measurement items include awareness of stakeholder, competitor identification and awareness, image and identity, promotional activities, marketing budgets and evaluation of each of these practices.
LEARNING AND GROWTH PERSPECTIVE	Measures employee motivation, retention, capabilities and alignment and information system capabilities.	Modified to measure creativity, participative decision making, team work, leadership and continuous improvement and knowledge sharing.

Table 2: Stakeholder and issue salience

Stakeholder salience	Power: "the ability [of a person or group of people]... to bring about the outcomes they desire" (Salancik & Pfeffer, 1974).
	Legitimacy: behaviour which is "proper or appropriate within some socially constructed systems of norms, values, beliefs and definitions" (Suchman, 1995)
	Urgency: behaviour that demands a matter to be very important and needing immediate attention.

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Issue salience	Consistent: An issue that aligns or has an impact on the organisation's value and helps it in achieving its strategic goals and identity.
	Conflicting: An issue that challenges or threatens the organisation's strategic goals and identity.
	Unrelated: An issue that is irrelevant to the organisation's goals or identity.

Table 3: Proposed impact assessment approach for social enterprises with stakeholder centricity

SDG Goal # 17: Strengthen the means of implementation and revitalize the global partnership for sustainable development		
	Social enterprises focused	**Proposed stakeholder engagement approach for impact assessment**
FINANCIAL PERSPECTIVE	Modified to measure the "multiple bottom line" which includes indicators for social, environmental, and financial stability; efficiency of budgeting and expenditure management; stakeholders' financial supports, trade-profit performance indicators combining social and economic accountability; and systematic approaches to articulating social accounting. Also referred to as "financial sustainability" which will include stakeholder engagement.	For each perspective the social enterprise needs to determine: Q1 – Who are the stakeholders? Q2 – What does each stakeholder want? Q3 – How are stakeholders trying, or how will they try, to get what they want?
INTERNAL BUSINESS PERSPECTIVE	Modified to focus on internal structure, managing internal/external communications, quality management systems, flexibility and adaptability including culture, structure and innovation, which creates values for beneficiaries and local community.	Q4 – What attributes are being exhibited by each stakeholder? Q5 – Does the stakeholder's vision align with the social enterprises' vision?
CUSTOMER PERSPECTIVE	Modified to measure a stakeholder environment perspective where measurement items include awareness of stakeholder, competitor identification and awareness, image and identity, promotional activities, marketing budgets and evaluation of each of these practices.	Q6 – What are the issues presented by the stakeholder, which are consistent, conflicting or unrelated for the social enterprises? Q7 – Based on the attributes exhibited by a stakeholder, their

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ORGANISATIONAL LEARNING AND GROWTH	Modified to measure creativity, participative decision making, team work, leadership and continuous improvement and knowledge sharing.	alignment of vision and issues that are consistent: - What outcome measures should the social enterprise co-create with this stakeholder? - Is there an opportunity to develop or achieve this outcome in partnership with specific stakeholders? - How will the outcome be communicated with the stakeholders?

Middle Manager Resistance to, or Acceptance of Organisational Change in Public Sector Organisations

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Middle Manager Resistance to, or Acceptance of Organisational Change in

Public Sector Organisations

Purpose – This paper explores the impact of policy on organisational factors (leadership and organisational culture) and individual attributes (psychological capital) of managers and how these factors influence their resistance to, or acceptance of change.

Design and methodology approach – This qualitative study utilised interviews with senior leaders and focus groups with middle managers.

Findings – The findings identified key factors such as organisational leadership and the Psychological Capital of managers impacting change.

Research and limitations implications –This paper identified the importance of understanding the drivers of change on managers during the change process in two public sector organisations.

Originality/value – This paper found that the implementation of NPM policies affected how organisational factors and individual attributes impacted managers' acceptance of change.

Keywords: Leadership, organisational culture, psychological capital, organisational change.

Research paper.

INTRODUCTION

Organisations today face unprecedented levels of change, with continual organisational transformation being the norm. Effective change relies on a confluence of numerous factors. Past research identifies numerous individual (such as the level of emotional intelligence or Psychological Capital (PsyCap) of the manager) and organisational factors (such as the quality of leadership) likely to impact managers' resistance or acceptance of change. Additionally, examining the impact of contextual public-sector specific factors (such as red tape) possible to impact managers' acceptance of change in Australian Public Sector Organisations (PSOs) provides further understanding of the complexities involved in implementing organisational change.

There is a gap in the public administration research about effective change management. Kuipers et al. (2014), in a review of 133 journal papers between 2000 and 2010

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about organisational change at the macro, meso and individual levels, identified seven new areas of potential research required to address the present gap in research. Specifically, they argue for an increased focus on using different theoretical approaches and in-depth empirical research across different public contexts; a stronger focus on working with and examining change implementation from a practitioner's perspective, and factors likely to predict success or failure, especially the role of leadership, as well as a greater understanding of the interactive effects of micro-and sector-level change (Kuipers et al., 2014). The purpose of this paper is to explore the impact of policy on organisational factors (leadership and organisational culture) and individual attributes (psychological capital) of managers and how these factors combined to influence their resistance to, or acceptance of change. Psychological capital (PsyCap) is defined as 'an individual's positive cognitive state characterised by: (1) having confidence (self-efficacy) to take on and put in the necessary effort to succeed at challenging tasks; (2) making a positive attribution (optimism) about succeeding now and in the future; (3) persevering toward goals, and when necessary redirecting paths to goals (hope) to succeed; and (4) when beset by problems and adversity, sustaining and bouncing back and even beyond to attain success' (Luthans, Youssef & Avolio, 2007, p. 3). Thus, the following research questions guide the study:

1. How do policy, organisational factors (leadership and organisational culture) and individual attributes (psychological capital) impact managers' resistance to, or acceptance of change?
2. Are there any similarities or differences in the way managers respond to policy?

The paper's contribution is in identifying the factors relevant to managers likely to impact how they implement changes in different types of public sector workplaces. The following section examines the extant literature from which the gap is identified, and data sought using secondary research questions.

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LITERATURE REVIEW

The impact of policy on organisations

There is a wide diversity of definitions about what constitutes a policy. For the purpose of this study, a policy is defined as 'a political statement that incorporates underlying goals or objectives' (Hogwood & Gunn, 1984, p. 14). In this research, one such public-sector policy is the array of policies that emerged under the umbrella of New Public Management (NPM). According to Pollitt and Bouckaert (2017, p. 6), 'NPM became dominant in the 1980s and '90s, with the new paradigms of governance, networks, and partnerships.' The emergence of this approach to public administration underpinned significant administrative reform, at least in some countries. Pollitt and Bouckaert (2017, p. 6) maintain that 'this wave of reform was noticeable in most Anglo-Saxon countries.'

The implementation of NPM had economic, political, and social effects. The notion that 'NPM emerged and evolved as a paradigm of government reform was diverse throughout the historical journey' (Pollitt & Dan, 2011, p. 4). It is noted that the advent of the NPM paradigm was to counterbalance the frustration regarding government failures and the adaption of a belief in efficiency and effectiveness of markets, in economics, and rationality, as well as a goal to devolve and privatise large, centralised government agencies (Bryson, Crosby & Bloomberg 2014). Policymakers and public managers were encouraged to consider the full array of alternative service delivery options and choose different strategies and solutions based on pragmatic corporate-focussed criteria.

Whilst NPM promised increased efficiency and effectiveness, its implementation within public sector workplaces was often negatively impacted by poorly articulated policy documents. This was further complicated by inadequate resourcing and a minimal commitment to the change by management. Indeed, the real meaning of policy is often clouded by ambiguity

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and conflicting goals (Chun & Rainey, 2005). As a result, successful policy implementation is often not realised (May & Winter, 2007). Further, confusion regarding whether policies failed to achieve objectives because of 'non-implementation or unsuccessful implementation' was evident (Hogwood & Gunn, 1984, p. 197). Thus, policy implementation in public sector organisations is often compromised for many reasons.

One of the main factors that has compromised implementation goals is the austerity agenda, which often underpinned the implementation of policies. The austerity agenda was not originally part of NPM. However, its emergence shaped the dominance and impact of NPM over time because it affected which changes were implemented. Austerity measures resulted in budget cuts, recruitment freezes, government departments downsizing, with further restructuring within public sector organisations (Kiefer et al., 2014; Pollitt, 2010, 2011; Pollitt & Bouckaert, 2017; Smollan, 2015). Early in the implementation of NPM and under the guise of fiscal austerity, the rhetoric of 'doing more with less' delivered budget reductions and widespread mass redundancies in organisations across many countries (Conway et al., 2014; Pollitt 2011; Pollitt & Bouckaert, 2017). Indeed, governments were 'entitled to cut back to balance the budget, even so, 'ethical and other concerns emerged', such as a lack of resources to deliver important health and social government programs and promises (Pollitt, 2010, p. 28). While NPM intended to create a lean and innovative public sector, the sudden impact of reduced capacity, coupled with the loss of corporate knowledge, led to a capability, increased stress levels of government workers, which inevitably spread to dissatisfied citizens (McTaggart 2015; Pollitt, 2011). The emerging theme from the literature suggests that further resource constraints under the agenda of austerity often overshadowed the implementation of and indeed shaped the type of NPM reforms undertaken. These 'cutbacks' and resource

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reduction', Pollitt and Bouckaert (2017) argue numerous forms with different strategies used in various organisations.

Austerity impacted policy implementation in some countries that had implemented NPM by becoming the underpinning 'unspoken' driver of many NPM policies to reduce public sector spending (Diefenbach, 2009; Saetren, 2014). The implication is that often, policies were underfunded (Pollitt & Bouckaert, 2017). Many reforms involved staff reductions which led to a sudden loss of corporate knowledge and put further strain on employees who were expected to deliver on a complex array of public sector deliverables. These considerations have added layers of complexity, especially during the fiscal austerity era. Thus, the reality of NPM implementation has fallen short of the intention to modernise the public sector. In sum, the evidence suggests that policy did affect managers' acceptance or rejection of reforms or how they interpreted policies. However, it is unclear how. The constant churn of public sector change has impacted how public sector leaders perform (Antonius, 2014). In effect, there has been considerable emphasis on public sector leadership accountability, performance improvement and focus on customer-oriented outcomes (Van Wart, 2013). In order to explore how policies affected managers' accepted of change, the following secondary research question (SRQ) was included:

SRQ1: How does policy impact managers' resistance to, or acceptance of change?

Organisational factors: Leadership and Organisational culture

(a) Leadership – Transactional and Transformational Leadership

There are some similarities between transactional and transformational leadership behaviour. Transactional leaders tend to focus on the operational day-to-to tasks. In contrast, transformational leaders inspire others to follow a vision (Chou, 2013). They inspire great loyalty, providing they succeed. Conversely, if reforms fail to achieve expected targets, leaders

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are accused of being hypocritical, and the followers may become disillusioned or cynical. Indeed, this leadership style has been criticised for not being constructed on a concrete ethical or moral foundation (Hoch et al., 2018).

Today, the propensity for leadership studies have shifted from nascent to a modern approach, and researchers propose that leadership development is multi-faceted and develops over a long period of time (Day et al., 2014). In the new millennium, leadership challenges have increased; therefore, the complexity of leading can be daunting. Thus, modern-day leaders are required to be competent in their role, deliver business outcomes, as well as ensure effective relationships with subordinates. The effectiveness of these relationships must be founded on honesty, integrity, and trust (Day., 2010). Ultimately, these interactive elements, if properly balanced, create a safe space to engender and empower a professionally competent staff. Hence, the behaviours required of leaders to be able to negotiate challenging dynamics has changed away from the practices of autocratic, transactional, transformational leaders towards building a more positive, value-based type of leadership - such as authentic leadership theory (Hoch et al. 2018). This is explored in the next section.

b) Leadership - Authentic Leadership Approach

The development of a type of leadership called Authentic Leadership was proposed by Luthans and Avolio (2004). Further, Avolio and Luthans (2006) identified the influence on moral character. They separated those who are 'deeply aware of how they think and behave and being perceived by others as aware of their own and others values/moral perspectives, knowledge, and strengths' from other leaders as important behaviours (Avolio et al., 2004, p. 802). The authentic leadership approach is based on self-awareness, self-regulation and forged on the concept of the high moral character of the leader who accentuates positive and progressive interactions between leaders and employees (Woolly, Caza & Levy, 2011).

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Consequently, authentic leadership is viewed as a combination of other forms of positive leadership, including ethical and servant leadership (Avolio & Gardner, 2005).

Positive leaders create a culture that flourishes with compassion and support. These attributes flow on to ensure employees' positive psychological, mental-emotional states (Cameron, 2013). The communication style of positive leaders is supportive and tends to focus on employees' strengths, achievements, and contributions. This approach is fundamental during difficult conversations where corrective or negative feedback is required (Cameron, 2013). These leaders foster relationships that forge cohesion, innovation and encourage individual and team performance (Wong & Laschinger, 2013). Accordingly, a meaningful connection with employees motivates and encourages employees to excel and empowers them to deliver on business deliverables effectively (Walumbwa et al., 2010). As a result, positive reinforcement for employees translates into tangible organisational outcomes. Thus, the importance of the behaviour of positive leaders was influential in the development of authentic leadership theory. Researchers and theorists have theoretically and empirically posited these attributes over the past decades.

Finally, over decades of transformative public sector leadership paradigms, there have been substantial changes that have traditionally been influenced by political, economic, and cultural changes. All in all, the accountability and performance of the modern-day leader, aligned with current theoretical constructs, offers a case to consider about the most appropriate leadership behaviours for the public sector. Hence, the literature suggests that positive leadership approaches affect managers' acceptance or rejection change. This is expressed as the following secondary research question (SRQ):

SRQ2: How do leadership behaviours impact managers' resistance to, or acceptance of change?

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Organisational factors: Organisational culture

Organisational culture provides the context in which a manager functions. According to Schein (2010, p.17), 'culture is the patterns of behaviours that are encouraged or discouraged or tolerated by people and systems over time.' As highlighted by Ahmadi et al. (2012, p. 286), the study on the effects of organisational culture on organisational change began in the 1980s. However, in 1999, Cameron and Quinn (1999) proposed an organisational typology based on the competing values framework (CVF). They established a criterion to assess and profile dominant cultures of organisations to identify underlying cultural dynamics in organisations.

The CVF is based on four individual culture types, these being '(1) Hierarchy, (2) Clan, (3) Market, and (4) Adhocracy.' According to this typology, the hierarchy culture was founded in Weber's bureaucracy theory. The theory focuses on 'internal efficiency, cooperation and maintains dominant characteristic' (Cameron & Quinn, 1999, p. 33). This culture type is control-oriented and focuses on the internal structure and operation of the organisation with close adherence to the organisation's efficiency, coordination and rules and regulations (Cameron & Quinn, 1999). In contrast, clan culture has a family-oriented focus. The motivation for this culture is to concentrate on internal issues and can be dynamic (Cameron & Quinn, 1999). The main characteristics of this culture are 'relationship-based which means that the organisation relies on partnerships, teamwork, and corporate commitment to managers' (Cameron & Quinn, 1999, p. 32). Organisations with this culture are reflective in their approach and use scrutiny and challenge the status quo to reach a higher level of efficiency and effectiveness.

The CVF utilised the two dimensions of flexibility and discretion versus establishing control and considered the external focus versus internal focus integration. Cameron and Quinn (1999, p.20) identified six organisational characteristics, such as '(1) dominant characteristics

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(varies with individual culture types) of the organisation; (2) organisational leadership; (3) management of managers; (4) organisational glue; (5) strategic emphases; and (6) criteria of success.' These dimensions and organisational characteristics define four types of organisational cultures in this typology.

While there are many differences in the characteristics of the four types of culture, there are also some similarities. All in all, while there are many different typologies of organisational culture existing in the literature, it is Cameron and Quinn's (1999) competing values framework. In this study, CVF will be used because it provides a valid comparison of the cultural types, especially the hierarchical culture, which is the foundational characteristic of the public sector.

In the culture change literature, the individual characteristics of employee behaviour are regarded as an additional but related component that significantly impacts the operating environment. Thus, if employees or the culture of the organisations' attitude toward organisational change is negative, they may resist the change, and as such, this may lead to the failure of the change initiative (Elias, 2009). This failure can create a problem where the behaviour of employees can be an obstacle to implementing organisational change. Alternatively, if 'employees are willing to adjust their behaviour in line with the envisaged change, then it is likely that organisational change will be successful' (van den Heuvel, Demerouti & Bakker, 2014, p. 12). Researchers, such as van den Heuvel et al. (2014, p. 6), recognise the importance of individual adaptive behaviour. The same authors (2014, p. 6) maintain that 'adaptive behaviour refers to the degree to which individuals cope with, respond to, and support changes that affect their roles'. Of course, any organisational disruption or change can be demanding or stressful for employees, and the internal behavioural characteristics of the organisation cannot be under-estimated. Consideration of behaviour

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patterns has been argued as being particularly important for organisations operating in unstable external environments, where recognising emergent patterns of behaviour appropriate to the external changes is considered an essential part of the strategic process that leads to effective organisational change (Combe & Botschen, 2004). Therefore, the evidence suggests that organisational culture impacts managers' acceptance or rejection of change. This is expressed as the following secondary research question:

> SRQ3: How does public sector organisational culture impact managers' resistance to, or acceptance of change?

In sum, despite culture typology, a brief overview of the organisational change literature indicates that the role of managers is crucial to the change process. However, the bulk of the research has focused upon the tasks and processes involved in change, rather than the psychological state of employees and its impact on their ability to embrace or reject change. One psychological attribute that has been identified as impacting managers' attitude and subsequent adoption or rejection of change is a relatively new variable entitled Psychological Capital (PsyCap) identified by Positive Organisational Behavioural (POB) researchers.

Individual attributes – Psychological Capital

Psychological capital (PsyCap) is an example of an individual factor that individuals can rely upon when organisational factors are in deficit. In this research, PsyCap is defined as' positive emotions that relate to relevant attitudes and behaviours that can facilitate (or inhibit) positive organisational change' (Avey, Wernsing, & Luthans, 2008, p. 50). According to researchers (Nolzen 2018; Peterson, Luthans & Avolio, 2011), organisational factors (leadership and organisational culture) can either build or negate PsyCap in their action, either facilitating increased employee performance which ultimately acts as an antecedent of effective organisational change (Nolzen 2018; Peterson, Luthans & Avolio, 2011). Alternatively, it is

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anticipated that negative behaviours such as low employee performance, change fatigue or a lack of commitment to change initiatives are likely to impact change outcomes negatively. The negative responses and attitudes identified in the literature review maintain that employees with low PsyCap (low perceptions of self-efficacy, hope, optimism, and resilience) are likely to react negatively to proposed change (Avey et al., 2008; Luthans et al., 2010). These factors further substantiate examining PsyCap as an individual attribute to be explored in this study. Concluding, the evidence suggests that positive leadership approaches influence psychological capital, which affects managers' acceptance or rejection of organisational change. This proposition is expressed in the following secondary research question (SRQ).

SRQ 4: Does psychological capital influence managers' resistance to, or acceptance of change?

The proposed model of policy implementation

This paper emphasises the interrelationships between each conceptual element and has presented a literature review that explores variables within the proposed conceptual framework (see Figure 1 below). Upon reviewing the key concepts in this study, it is apparent that there are substantial interrelationships between all four conceptual elements as reviewed in this chapter. The policy literature review has reiterated the argument that policy implementation is a complex and multidimensional construct that has been the focus of many scholars and policymakers. This research identified vital determinates, such as a belief that managers were expected to do more with less under the guise of efficiency and effectiveness (Pollitt & Bouckaert, 2017). In order to deliver on these themes, policymakers and public managers were tasked with redefining service delivery options. This was further complicated by resource reduction and the trepidation of whether policies failed to achieve objectives (Pollitt & Bouckaert, 2017). These considerations have created layers of complexity that affects

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managers acceptance or resistance of reforms. The proposed model below (Figure 1) acknowledges that policy implementation progresses through several phases. The underlying assumption of the model is that diverse participants are responsible for different stages of the process.

Figure 1 Research Framework

METHODS

This study examines these factors in the public sector context during organisational change using two case studies. Senior and middle managers from two Australian federal public sector organisations undergoing organisational change were interviewed. The data source entailed came from semi-structured interviews with senior leaders (SES officers). These senior executives were at the head of their Department and thus responsible for implementing public policy in their Department. They were the senior leaders who led the change event/s in their Agency. Additional data were collected from focus group sessions. Participants in these focus group sessions were middle managers appointed at Executive Level 1 (EL1) and Executive Level 2 (EL2). These middle managers were responsible for supervising their teams while managing the constant and shifting workloads during organisational change.

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The research sample included employees who agreed to participate in this qualitative study. The sample included officers from the senior executive service (SES) and middle managers (Executive Level 2 and Executive Level 1) from the two case study agencies (Agency A and Agency B) of the Australian Public Sector (APS). Most participants were permanent employees. Many were working in the public sector for a period of more than one to thirty years. At the time of this research, the participants held either senior leadership or middle management positions. A small percentage of managers had a minimum of two years of public sector employment experience. This study included six interviews with senior executives and twenty-two middle managers across Agency A and Agency B. There was one interview with a senior executive of Agency A, and thirteen middle managers participated in three focus groups. In Agency B, there were five senior executives interviewed and nine middle managers participated in three focus groups. In total, 17 male managers and 19 female managers agreed to participate in the study.

Accordingly, the design of the research process, focus group and interview protocols. A rigorous approach to data analysis ensured adequate attention was paid to the trustworthiness criterion, as well as identifying potential limitations and ethical considerations were also addressed. The qualitative data were grouped into concepts (explanatory ideas) identified in the data in the first stages of analysis (McNabb, 2008). The cross-case synthesis technique was undertaken to identify emerging themes across two organisations and then collated them (Yin, 2014). The data were analysed using NVivo. The first stage of the process to import the de-identified data into NVivo. This was followed by the process of exploring the data and identifying emerging patterns or groups of concepts, which were coded to create nodes. The nodes represented themes, topics, concepts, ideas, and opinions. During this analytical process,

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a node hierarchy was established to link connections between themes. As a result of this process, major themes emerged (Yin, 2014).

The purpose of analysing the data and presenting the findings from qualitative data collected in two Australian public sector organisations (PSOs) (Agency A and Agency B) and to provide a comparative analysis of the data collected from semi-structured interviews with senior executives and focus groups with middle managers in those agencies. A table clarifying the similarities and differences between the two PSOs is presented (see Appendix 3). Elements such as brief histories, organisational size and structure, type of change and status are included in the table.

RESULTS

Both Agencies implemented policies before this study. Both agencies were given a brief to streamline management practices and focus on building a more productive workforce. There was one policy for Agency A and two policies for Agency B specifically related to this aim. The first impact within Agency A was significant workforce reductions. In Particular, Agency A retrenched 15,000 employees.

Comparably, Agency B was also impacted by this government reform, but far fewer job losses occurred. In accord with these austerity measures identified in media articles and corporate documents, an analysis of the impact of relevant policies will be discussed in this section. Findings from this analysis regarding Agency A and Agency B are discussed as follows. The outcomes related to both agencies are analysed in response to the primary research question: *'how does the role of policy, organisational factors (leadership and organisational culture) impact managers' resistance to, or acceptance of, change?'*

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Specific questions were asked about the extent to which managers adhered to policy in making changes in their Department in their capacity as line managers. The findings are from the analysis of 28 interviews across the two organisations, as detailed above. The emerging themes emerged from the study of manager's responses from both agencies. The policy goals were ambiguous in both Agency A and Agency B. As a result, the policy intention for both agencies created a disconnect between the vision (delivered by senior leaders) and the reality (middle manager experience). The findings from the focus group discussions with middle managers in Agency B suggest that there was frustration surrounding policy implementation. Still, there was a corporate commitment to performance management processes. The findings from both Agency A and Agency B have identified that the actual strategies to change the culture, accountability measures and or performance indicators were not apparent in any of the policy documents implemented. Finally, policy issues arising from data analysis will be addressed further in this paper under the relevant theme. For example, leadership (organisational factor) is presented next.

Leadership (organisational factor)

Leadership approaches emerged as a key theme from an analysis of the findings. Findings from the data suggest that leadership approaches have a significant impact on managers' resistance to, or acceptance of change. The secondary research questions (SRQs) guided the direction of analysing the data.

SRQ2: How do leadership behaviours impact managers' resistance to, or acceptance of change?

An analysis of these findings follows.

Agency A

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The findings suggest the dominance of the autocratic leadership model used by the managers with comments such as, *'I had to force people to change!'* (ExecA001). A further example of the autocratic leadership style is demonstrated in these comments: *'Staff were struggling with the transformation, and the SES managers were struggling with; 'what is wrong with you people?' We told you the strategy, just go and be different!'* (ExecA001). The executives' reproach was to suggest, *'All their life staff have been put in front of processes, procedures and protocols and were waiting for someone to spoon-feed them'* (ExecA001). Some comments refute this direction by acknowledging that, '*We knew the change was coming; we were told, but we weren't told how to deal with it. We were just expected to deal with it. And I think that reflects on how well or not well it was managed* (FGA003).

This discussion provides evidence of the apparent tension between senior leaders and middle managers. Findings from the data suggest that senior executives expected that the role of middle managers was to operate under broad direction in a highly complex environment. This expectation has raised some tension between senior executives and middle managers. The discussion above provides evidence that there was a disconnect between the perspectives of senior executives and middle managers about how and what to implement. Findings from the data provide support for the proposition that senior leaders in Agency A adopted the autocratic leadership style. However, the disparate perspectives between senior leaders and middle managers suggest a range of deeper tensions. Tensions were created by issues related to conflicting messages, a failure to amend bureaucratic processes, lack of reflection by senior managers. The data identified an inability by middle managers to adapt after years of being told what to do. This failure to amend bureaucratic processes that would support change was evidenced by the lack of instruction or training from senior leaders. Further, it is essential to

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note a lack of clarity of 'what to implement'. To exacerbate the confusion, middle managers did not receive adequate training about 'how to implement' expected changes of team functionality.

Agency B

The findings suggest evidence of transactional and transformational leadership styles. In particular, senior executives ascribed to a more transformational leadership approach. However, there was also evidence of bureaucratic forms of management. Interestingly, there was not a lot of coinciding or supportive data from middle managers to confirm or disagree with the perspectives of the executive. The following examples illustrate this view.

> *'My desire is to connect with the hearts and minds of the people and to check understanding and the emotional barometer' (ExecB001).*

> *'It is important for senior leaders to be a visionary or role model to demonstrate and showcase leadership capability and to lead the change and bring the organisation along on the journey. That is, we must communicate the vision but ensure to state how we will change' (ExecB004).*

> *'As a senior leader in the Australian Public Service (APS), I am constantly striving for a healthy ecosystem. It is all about connecting with a wider context and bringing back current thinking into the organisation' (ExecB001).*

Middle managers provided some insight into their perspective of leadership approaches in the following examples.

> *'I've been through a couple of internal restructures. One was due to budget pressures. It was a 'spill' and people had to apply for their own jobs. It was not handled very well, but I think that they've got better at managing those things now' (FGB002).*

> *'There is a lot of middle managers with limited opportunities for them to supervise or manage others, so those traditional leadership capabilities are not realised. So, I am moving to a project-based structure' (ExecB003).*

In sum, this discussion provides support for the findings that both organisations have bureaucratic leadership styles. Agency A has demonstrated an autocratic approach to leadership. Instead, Agency B leaders are positing a transformational leadership style.

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However, because of the lack of data from middle managers in Agency B, it is difficult to surmise if the transformational leadership approach can be validated in these findings.

Organisational culture (organisational factor)

Public sector culture emerged as a key theme in this research. The findings were based on responses from the secondary research question.

SRQ: 3 How does public sector culture impact managers' resistance, to or acceptance of change?

Further, the findings revealed that there is a mix of perceptions regarding organisational culture. An analysis of the findings is presented below.

Agency A

According to the interview with the senior executive from this Agency, the first deliverable of the policy implementation process was to change the culture of the organisation. It is noted that, in interviews with the executive at the commencement of implementation, there was a disconnect between the vision of *'empowered and trusted culture'* and the reality expressed by middle managers (focus groups). Perhaps this disconnect was promulgated with the thinking in the following comment *'to give life to a change of culture – we need to see a reduction in this idea of entitlement, that I kind of feel pervades the public service to a very large degree'* (ExecA001).

The disagreement about public sector versus private sector was further intensified by executives who suggested that *'there's some cultural stuff that we haven't even touched on that needs to be touched on because, it's like the agency agreement that hasn't been signed off. Staff get really angry, and I get that, but if you're in private enterprise looking at the deal on the table right now, you would just think it's so sweet'* (ExecA001).

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Middle managers were focused on their operating environment, '*we have a culture that is long-established of operating in vertical silos'* (FGA002). However, there are some areas of the organisation that have experienced a change in culture, or at the very least a notable restructure of the functionality of their environment. Focus group statements evidence, '*the cultural change in IT has centralised all of the divisions. The Department is more centralised now. That means we are more responsive to business needs. We spent lots of money, and we implemented systems and processes from that. It is still not successful as there are lots of complaints from the community'* (FGA001). Unfortunately, this comment does not align with the 'customer-centric commitment in the *Reinventing Agency A: Program Blueprint (2015)* policy.

Agency B

In terms of culture, this Agency presents as bureaucratic. Findings from the data suggest that the Agency is striving toward a top-down and bottom-up culture. As a way to transform the culture into a more innovative, trusted and dynamic culture, executives suggest,

> '*in the public service there is a tendency not to admit your mistakes because you'll get jumped on from a great height if you make a mistake or you'll get smacked. And that tends to dampen any sort of innovation because people are so fundamentally risk-averse and fearful that they're not game enough to challenge anything'* (ExecB004).

Even so, another executive maintains that:

> '*senior executives across the department have an appetite for and support innovative strategies'* (ExecB002).

In support of these strategies, executives suggest that,

> '*innovation in this Department has the courage to challenge the status quo and explore some innovative ways of thinking and doing. In my branch, I expect my staff to challenge me to discover new ways of doing things. I don't mind being told that I am wrong (not that I particularly like it) if the argument is sound and offers an innovative or creative solution to outdated practices'* (ExecB005).

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This discussion provides support for the findings that this Agency is attempting a cultural change. The results also suggest that senior leaders are changing their behaviour as a way to lead the proposed change.

This research study identified a bureaucratic culture. It appears that Agency A's intention to address the culture change has fallen short of the expectation to shift to a more dynamic and private sector culture type. At the time of this study, there were indicators that the vision of cultural change did not positively reflect middle managers. The discussions with middle managers reflected these indicators to change the culture. In contrast, Agency B data indicated a shift to a more dynamic or innovative culture. At least these were the testimonials from the executive to suggest that notion. In contrast, the focus group (middle manager) data did not endorse these statements by senior leaders.

Individual attributes (Psychological Capital)

The individual attributes of both organisations were examined further by asking the following secondary research question.

SRQ: 4 Do individual attributes (psychological capital) influence managers' resistance to or, acceptance of change?

Agency A

The findings suggest that PsyCap appears to be low in Agency A. At the outset, there seems to be an issue regarding the level of commitment of staff to follow the directions as set out in the policy, Reinventing Agency A: Program Blueprint (2015). This issue is addressed by a senior executive who indicates that:

> *'people are slow to change the way they are used to doing things, and people like the idea of trying something new but they like the idea of it more than having them apply it because that takes effort'* (ExecA001).

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This comment suggests that staff and managers are resistant to change.

Embracing the level of commitment from senior leaders is referred to in this comment.

> *'if you want a commitment from staff, staff need to feel there is commitment coming back the other way, and I don't' think that is happening'* (FGA001).

This is a balanced perspective and one that would certainly improve with a positive shift in PsyCap during change. Finally, there is a level of despondency between a manager and her team. This is illustrated in the following quote,

> *'As a manager, you have a duty of care, and the reality is impacting our staff's wellbeing and their lives so significantly they could just take their own life. I was following a process, but I had to back-off as she could have committed suicide. I kept asking her if she was okay. I had to be honest and say, I can't make your world rosy anymore'* (FGA003).

Agency B

The findings suggest that the psychological capital (PsyCap) of Agency B appears to be slightly higher than Agency A. The recognition of an improved degree of PsyCap could be attributed to the care and concern offered by the senior executives. This finding has been expressed,

> *'we do a positive health-check on our staff and managers'* (ExecB001).

To further validate the recognition of PsyCap and a positive and considered note focus groups proposed,

> *'we have to be responsive. We are, as public servants required to go where the function goes, so there's a level of that accepted and it's important to understand that as an individual, but it is also important to understand the personal impact on the individual'* (ExecB001).

This discussion suggests that, in the public sector today, there is an expectation that public servants need to be resilient and adaptable to change.

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In contrast, there seems to be a denial regarding the concept of change fatigue. Interview data from Executives argue that:

'*change fatigue is just a fallacy. To me, that's an excuse not to engage'* (ExecB002).

In contrast, focus group data suggests that,

'*everyone is pretty pragmatic and emotionally mature about resource reduction issues, we're lucky'* (FGB001).

Further,

'*I am fortunate that I have never had a change forced on me. So, I've moved because my role moved. I've been told that you are doing this today. And I am like, okay!'* (FGB002). Finally, '*I have a monthly reward award for my staff. I do that because I know I am going to get a positive return from them. It makes them feel good, and I am going to get better productivity* (FGB002)'.

Indeed, PsyCap was the source of inspiration for this study. The findings suggest that there is a lack of resilience in the face of change. Thus, resilience has been identified as an essential factor in this study. The findings also suggest that there is little evidence of hope, optimism, or efficacy. An analysis of these findings further suggests that managers' resistance to change is linked to low PsyCap. It has made a significant impact on the status of organisational change. The negative comments from managers from both agencies are noteworthy.

Regarding the impact on middle managers readiness, the expectations of a change in the public sector culture, and the influence of psychological capital on middle managers during organisational change. As a result, this research adds to a better conceptual and pragmatic understanding of how the role of policy, organisational factors (leadership and organisational culture) and individual attributes (psychological capital) impact managers' resistance to, or acceptance of change.

DISCUSSION

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This paper examined the impact of policy, organisational and individual factors on the decision by managers to implement organisational changes. Four secondary research questions were used to address the primary research question. These secondary research questions (SRQs) are presented below, followed by a summary of findings. The first SRQ examined how does policy impact managers' resistance to, or acceptance of change.

The review of the policy literature has reiterated the argument that policy implementation is a complex and multidimensional construct that has been the focus of many scholars and policymakers. This research identified vital determinates, such as believing that managers were expected to do more with less under the guise of efficiency and effectiveness (Pollitt & Bouckaert, 2017). To deliver on these themes, policymakers and public managers were tasked to redefine service delivery options. These considerations have created layers of complexity that affects managers acceptance or resistance of reforms. However, the most notable finding of the research is that austerity-driven policies appeared to be the primary driver of policy goals for Agency A. Therefore, any decisions made by managers was shaped by this fundamental criterion. It was less evident in Agency B, where the policy framework goals were more in line with the stated policy of reforming practices to streamline processes to achieve greater coherence in policy and practice.

The second SPQ examined how do leadership approaches impact managers' resistance to, or acceptance of change.

This research identified the involvement, influence and responsibility of senior leaders and middle managers of the public sector during the policy implementation process. It is suggested that each phase depends on senior leaders' behaviour and attitude and the impact on middle managers. Indeed, the literature indicates that leadership is a multi-faceted and dynamic process of capability growth that combines personal and interpersonal characteristics (Day,

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2010). Various leadership models have been explored in this study. Over decades of transformative public sector leadership models, substantial changes have traditionally been influenced by political, economic, and cultural differences (de Vries, Bekkers & Tummers, 2015; Van Wart, 2013). For instance, these changes have focused on how public sector leaders perform (Antonius, 2014; de Vries, Bekkers & Tummers, 2015). There has been considerable prominence on public sector leadership accountability, performance improvement and focus on customer-service delivery (Van Wart, 2013). As the literature suggests, positive leadership approaches affect managers' acceptance or rejection of change (Day et al. 2014; Hoch et al., 2016). As indicated in earlier discussions, leaders play a significant role in policy implementation and the organisation's culture. The study also proposes that culture can be a barrier or a facilitator to policy implementation. However, the type of leadership was autocratic in nature with elements of a more transformational approach in Agency B.

The third SRQ examined the role of organisational culture impact managers' resistance to, or acceptance of change.

It is posited that middle managers sometimes have unique established rules, values, and practices (organisational culture) that provides the platform that determines the extent to which resistance or acceptance will impact change (Xerri et al., 2015). Indeed, if the manager or the culture of the organisations' attitude toward organisational change is opposing, they may resist the change. As such, this may lead to the failure of the change initiative (Elias 2009). To illustrate, if 'managers are willing to adjust their behaviour in line with the envisaged change, then it is likely that organisational change will be successful' (van den Heuvel, Demerouti & Bakker 2014 p. 12). In this study, the findings suggest cultural frameworks closed towards adapting change in both organisations, with elements of change fatigue evident in both organisations.

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The fourth SRQ examined the role of individual attributes (psychological capital) in influencing managers' resistance to, or acceptance of change.

The individual attributes of the psychological capital (PsyCap) of managers were examined concerning the change process. Examination of the literature about PsyCap has identified the impact of managers' attitude and resistance to or acceptance of change. Thus, the negative responses and attitudes identified in the literature review maintain that employees with low PsyCap (low perceptions of self-efficacy, hope, optimism, and resilience) are likely to react negatively to proposed change (Avey et al. 2008; Luthans et al. 2010). These factors further substantiate examining PsyCap as an individual attribute to be explored in this study. Positive leadership approaches influence psychological capital, which affects managers' resistance to, or acceptance of the organisational change.

As stated, the most significant finding is that irrespective of the said policy being implemented, that austerity-driven funding goal dominated organisational changes in Agency A. In contrast, there appeared to be a genuine attempt to change the structure and function of Agency B. However, austerity goals still underpinned some decision making. Additionally, Agency A was dominated by autocratic leadership behaviours. In contrast, there was a mixture of transformational and transactional leadership behaviours in Agency B. Further, there were two different types of organisational culture evident in the two organisations, with a bureaucratic culture dominating Agency A. This study also indicated that the culture was more engaging and dynamic in Agency B. The data reveals that middle managers were consulted and included in the change process.

Further, middle managers and staff were supported by diverse capability development opportunities. These capability development opportunities created a more

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engaging culture during change. Similarity across the two organisations was a depletion of PsyCap amongst managers undertaking the task of implementing change.

The policy objective to streamline organisational operations was on the organisational transformation agenda for Agency A (especially in terms of better servicing the client). However, as stated, the significant reduction in human resources lead to the policy implementation outcome o being under threat as there were far fewer employees to meet the demands of the modernisation plans as well as simultaneously achieving the business deliverables. Additionally, as stated in the *Reinventing* [Agency A]*, Program Blueprint* (2015), the theme was, *'to achieve the most effective and efficient way to consolidate shared and common service delivery in a manner that represents value for money to Government'* (p. 2). However, analysis of the interview data suggests that these objectives would not be achieved due to the shortage of trained resources. Also, due to the lack of performance management indicators, there was no means to monitor the progress of these objectives. One explanation could be that the policy was never intended to be implemented. Another reason is that whilst the policy objectives were considered necessary. The austerity objective was considered more important. Irrespective, policies were found to impact managers' acceptance or to thwart proposed change significantly. However, some policies had a more considerable impact. The policy announcement by the Minister stating the immediate reduction of a large number of staff in Agency A had a far more significant effect than any subsequent new policy attempting to improve client services.

However, irrespective of the policy, the task of day-to-day handling operations in the wake of significant reductions in human resources in Agency A from a policy announcement and a more targeted policy-directed decrease in staff in Agency B suggests that managers shaped how the policies were implemented in each Agency. Generally, the findings from both

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organisations indicate that the success of policy implementation is strongly dependent upon the behaviour of the middle manager operating within an organisation. In particular, the analysis of the findings from focus group discussions with middle managers supports the premise that policy does affect managers' resistance to, or acceptance of change. It is essential to understand the impact of the epidemic proportions of public sector change occurring over the past decade (Brunetto & Teo, 2018; Kiefer et al., 2014). It is, therefore, not surprising that much of the change was frequently unsuccessful (Blackman et al., 2015). There is evidence to suggest that change initiatives and organisational restructures are hindered by bureaucracies and risk-averse professional practices that rely on the management commitment and employee engagement before, during and after the organisational change event (Blackman et al., 2015). Indeed, change within an organisation sets out to alter the characteristics of that organisation, be it radical (Agency A) that may disrupt the very fabric of the organisation; or emergent (incremental) (Agency B) change restructuring or repurposing its function to steer a new direction. Such alterations, albeit radical or incremental, necessitate significant discontinuities in the relationships between the organisation and those who work within that context (Price & van Dick, 2012) and the formation of new relationships. The findings have affirmed these theoretical conclusions.

These factors best explain why policies fail to be implemented in organisations, particularly the role of actors in the implementation process because organisational behaviour (OB) change management identifies this factor as an essential driver impacting managers' resistance to, or acceptance of the change.

CONCLUSION

Public sector change is diverse because the role of policy and organisational factors is diverse, leading to significantly different change journeys for various public sector

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organisations. However, these two case study agencies are representative of Australian public sector organisations today. In terms of the model examined in this paper, each factor was significant. Still, to varying degrees depending on the decisions made at a senior level of the organisation, hence the pathway followed was different, leading to different outcomes.

Implications for better organisational change practice

This research examined the impact of policy on (organisational factors) leadership and organisational culture and individual attributes (psychological attributes) and how these factors combined to influence managers' resistance to, or acceptance of change. What was unexpected and emerged from the data was identifying the individual, organisational and contextual factors affecting managers' acceptance of, or manager resistance to change, and its impact on organisational change outcomes in two public sector organisations (PSOs).

The study offers meaningful, timely knowledge and insight relevant to both the academic and practitioner perspectives. This research contributes to ongoing research exploring variances found in organisational change theory, implementation theory, and hidden variables of organisational behaviour theory. In this study, theoretical links have been explored, albeit in two various public-sector agencies with a relatively small group of respondents undergoing policy implementation reforms. However, the theoretical discussion presented in this thesis contributes to the broader discussion. It explores the current theoretical premise of organisational change across public and private sectors.

It became clear that the capability of leaders impacted on managers' acceptance or resistance to change has a profound influence on policy implementation outcomes. To this

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end, it also became clear that the acceptance or resistance of the public-sector sector culture within an organisation was also as influential on organisational change outcomes.

It is anticipated that future research studies consider manager change readiness during change. Also, it is further suggested that the level of psychological capital of managers and staff at all levels be considered.

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Middle Manager Resistance to, or Acceptance of Organisational Change in Public Sector Organisations

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Middle Manager Resistance to, or Acceptance of Organisational Change in

Public Sector Organisations

Purpose – This paper explores the impact of policy on organisational factors (leadership and organisational culture) and individual attributes (psychological capital) of managers and how these factors influence their resistance to, or acceptance of change.

Design and methodology approach – This qualitative study utilised interviews with senior leaders and focus groups with middle managers.

Findings – The findings identified key factors such as organisational leadership and the Psychological Capital of managers impacting change.

Research and limitations implications –This paper identified the importance of understanding the drivers of change on managers during the change process in two public sector organisations.

Originality/value – This paper found that the implementation of NPM policies affected how organisational factors and individual attributes impacted managers' acceptance of change.

Keywords: Leadership, organisational culture, psychological capital, organisational change.

Research paper.

INTRODUCTION

Organisations today face unprecedented levels of change, with continual organisational transformation being the norm. Effective change relies on a confluence of numerous factors. Past research identifies numerous individual (such as the level of emotional intelligence or Psychological Capital (PsyCap) of the manager) and organisational factors (such as the quality of leadership) likely to impact managers' resistance or acceptance of change. Additionally, examining the impact of contextual public-sector specific factors (such as red tape) possible to impact managers' acceptance of change in Australian Public Sector Organisations (PSOs) provides further understanding of the complexities involved in implementing organisational change.

There is a gap in the public administration research about effective change management. Kuipers et al. (2014), in a review of 133 journal papers between 2000 and 2010

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about organisational change at the macro, meso and individual levels, identified seven new areas of potential research required to address the present gap in research. Specifically, they argue for an increased focus on using different theoretical approaches and in-depth empirical research across different public contexts; a stronger focus on working with and examining change implementation from a practitioner's perspective, and factors likely to predict success or failure, especially the role of leadership, as well as a greater understanding of the interactive effects of micro-and sector-level change (Kuipers et al., 2014). The purpose of this paper is to explore the impact of policy on organisational factors (leadership and organisational culture) and individual attributes (psychological capital) of managers and how these factors combined to influence their resistance to, or acceptance of change. Psychological capital (PsyCap) is defined as 'an individual's positive cognitive state characterised by: (1) having confidence (self-efficacy) to take on and put in the necessary effort to succeed at challenging tasks; (2) making a positive attribution (optimism) about succeeding now and in the future; (3) persevering toward goals, and when necessary redirecting paths to goals (hope) to succeed; and (4) when beset by problems and adversity, sustaining and bouncing back and even beyond to attain success' (Luthans, Youssef & Avolio, 2007, p. 3). Thus, the following research questions guide the study:

1. How do policy, organisational factors (leadership and organisational culture) and individual attributes (psychological capital) impact managers' resistance to, or acceptance of change?
2. Are there any similarities or differences in the way managers respond to policy?

The paper's contribution is in identifying the factors relevant to managers likely to impact how they implement changes in different types of public sector workplaces. The following section examines the extant literature from which the gap is identified, and data sought using secondary research questions.

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LITERATURE REVIEW

The impact of policy on organisations

There is a wide diversity of definitions about what constitutes a policy. For the purpose of this study, a policy is defined as 'a political statement that incorporates underlying goals or objectives' (Hogwood & Gunn, 1984, p. 14). In this research, one such public-sector policy is the array of policies that emerged under the umbrella of New Public Management (NPM). According to Pollitt and Bouckaert (2017, p. 6), 'NPM became dominant in the 1980s and '90s, with the new paradigms of governance, networks, and partnerships.' The emergence of this approach to public administration underpinned significant administrative reform, at least in some countries. Pollitt and Bouckaert (2017, p. 6) maintain that 'this wave of reform was noticeable in most Anglo-Saxon countries.'

The implementation of NPM had economic, political, and social effects. The notion that 'NPM emerged and evolved as a paradigm of government reform was diverse throughout the historical journey' (Pollitt & Dan, 2011, p. 4). It is noted that the advent of the NPM paradigm was to counterbalance the frustration regarding government failures and the adaption of a belief in efficiency and effectiveness of markets, in economics, and rationality, as well as a goal to devolve and privatise large, centralised government agencies (Bryson, Crosby & Bloomberg 2014). Policymakers and public managers were encouraged to consider the full array of alternative service delivery options and choose different strategies and solutions based on pragmatic corporate-focussed criteria.

Whilst NPM promised increased efficiency and effectiveness, its implementation within public sector workplaces was often negatively impacted by poorly articulated policy documents. This was further complicated by inadequate resourcing and a minimal commitment to the change by management. Indeed, the real meaning of policy is often clouded by ambiguity

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and conflicting goals (Chun & Rainey, 2005). As a result, successful policy implementation is often not realised (May & Winter, 2007). Further, confusion regarding whether policies failed to achieve objectives because of 'non-implementation or unsuccessful implementation' was evident (Hogwood & Gunn, 1984, p. 197). Thus, policy implementation in public sector organisations is often compromised for many reasons.

One of the main factors that has compromised implementation goals is the austerity agenda, which often underpinned the implementation of policies. The austerity agenda was not originally part of NPM. However, its emergence shaped the dominance and impact of NPM over time because it affected which changes were implemented. Austerity measures resulted in budget cuts, recruitment freezes, government departments downsizing, with further restructuring within public sector organisations (Kiefer et al., 2014; Pollitt, 2010, 2011; Pollitt & Bouckaert, 2017; Smollan, 2015). Early in the implementation of NPM and under the guise of fiscal austerity, the rhetoric of 'doing more with less' delivered budget reductions and widespread mass redundancies in organisations across many countries (Conway et al., 2014; Pollitt 2011; Pollitt & Bouckaert, 2017). Indeed, governments were 'entitled to cut back to balance the budget, even so, 'ethical and other concerns emerged', such as a lack of resources to deliver important health and social government programs and promises (Pollitt, 2010, p. 28). While NPM intended to create a lean and innovative public sector, the sudden impact of reduced capacity, coupled with the loss of corporate knowledge, led to a capability, increased stress levels of government workers, which inevitably spread to dissatisfied citizens (McTaggart 2015; Pollitt, 2011). The emerging theme from the literature suggests that further resource constraints under the agenda of austerity often overshadowed the implementation of and indeed shaped the type of NPM reforms undertaken. These 'cutbacks' and resource

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reduction', Pollitt and Bouckaert (2017) argue numerous forms with different strategies used in various organisations.

Austerity impacted policy implementation in some countries that had implemented NPM by becoming the underpinning 'unspoken' driver of many NPM policies to reduce public sector spending (Diefenbach, 2009; Saetren, 2014). The implication is that often, policies were underfunded (Pollitt & Bouckaert, 2017). Many reforms involved staff reductions which led to a sudden loss of corporate knowledge and put further strain on employees who were expected to deliver on a complex array of public sector deliverables. These considerations have added layers of complexity, especially during the fiscal austerity era. Thus, the reality of NPM implementation has fallen short of the intention to modernise the public sector. In sum, the evidence suggests that policy did affect managers' acceptance or rejection of reforms or how they interpreted policies. However, it is unclear how. The constant churn of public sector change has impacted how public sector leaders perform (Antonius, 2014). In effect, there has been considerable emphasis on public sector leadership accountability, performance improvement and focus on customer-oriented outcomes (Van Wart, 2013). In order to explore how policies affected managers' accepted of change, the following secondary research question (SRQ) was included:

SRQ1: How does policy impact managers' resistance to, or acceptance of change?

Organisational factors: Leadership and Organisational culture

(a) Leadership – Transactional and Transformational Leadership

There are some similarities between transactional and transformational leadership behaviour. Transactional leaders tend to focus on the operational day-to-to tasks. In contrast, transformational leaders inspire others to follow a vision (Chou, 2013). They inspire great loyalty, providing they succeed. Conversely, if reforms fail to achieve expected targets, leaders

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are accused of being hypocritical, and the followers may become disillusioned or cynical. Indeed, this leadership style has been criticised for not being constructed on a concrete ethical or moral foundation (Hoch et al., 2018).

Today, the propensity for leadership studies have shifted from nascent to a modern approach, and researchers propose that leadership development is multi-faceted and develops over a long period of time (Day et al., 2014). In the new millennium, leadership challenges have increased; therefore, the complexity of leading can be daunting. Thus, modern-day leaders are required to be competent in their role, deliver business outcomes, as well as ensure effective relationships with subordinates. The effectiveness of these relationships must be founded on honesty, integrity, and trust (Day., 2010). Ultimately, these interactive elements, if properly balanced, create a safe space to engender and empower a professionally competent staff. Hence, the behaviours required of leaders to be able to negotiate challenging dynamics has changed away from the practices of autocratic, transactional, transformational leaders towards building a more positive, value-based type of leadership - such as authentic leadership theory (Hoch et al. 2018). This is explored in the next section.

b) Leadership - Authentic Leadership Approach

The development of a type of leadership called Authentic Leadership was proposed by Luthans and Avolio (2004). Further, Avolio and Luthans (2006) identified the influence on moral character. They separated those who are 'deeply aware of how they think and behave and being perceived by others as aware of their own and others values/moral perspectives, knowledge, and strengths' from other leaders as important behaviours (Avolio et al., 2004, p. 802). The authentic leadership approach is based on self-awareness, self-regulation and forged on the concept of the high moral character of the leader who accentuates positive and progressive interactions between leaders and employees (Woolly, Caza & Levy, 2011).

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Consequently, authentic leadership is viewed as a combination of other forms of positive leadership, including ethical and servant leadership (Avolio & Gardner, 2005).

Positive leaders create a culture that flourishes with compassion and support. These attributes flow on to ensure employees' positive psychological, mental-emotional states (Cameron, 2013). The communication style of positive leaders is supportive and tends to focus on employees' strengths, achievements, and contributions. This approach is fundamental during difficult conversations where corrective or negative feedback is required (Cameron, 2013). These leaders foster relationships that forge cohesion, innovation and encourage individual and team performance (Wong & Laschinger, 2013). Accordingly, a meaningful connection with employees motivates and encourages employees to excel and empowers them to deliver on business deliverables effectively (Walumbwa et al., 2010). As a result, positive reinforcement for employees translates into tangible organisational outcomes. Thus, the importance of the behaviour of positive leaders was influential in the development of authentic leadership theory. Researchers and theorists have theoretically and empirically posited these attributes over the past decades.

Finally, over decades of transformative public sector leadership paradigms, there have been substantial changes that have traditionally been influenced by political, economic, and cultural changes. All in all, the accountability and performance of the modern-day leader, aligned with current theoretical constructs, offers a case to consider about the most appropriate leadership behaviours for the public sector. Hence, the literature suggests that positive leadership approaches affect managers' acceptance or rejection change. This is expressed as the following secondary research question (SRQ):

SRQ2: How do leadership behaviours impact managers' resistance to, or acceptance of change?

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Organisational factors: Organisational culture

Organisational culture provides the context in which a manager functions. According to Schein (2010, p.17), 'culture is the patterns of behaviours that are encouraged or discouraged or tolerated by people and systems over time.' As highlighted by Ahmadi et al. (2012, p. 286), the study on the effects of organisational culture on organisational change began in the 1980s. However, in 1999, Cameron and Quinn (1999) proposed an organisational typology based on the competing values framework (CVF). They established a criterion to assess and profile dominant cultures of organisations to identify underlying cultural dynamics in organisations.

The CVF is based on four individual culture types, these being '(1) Hierarchy, (2) Clan, (3) Market, and (4) Adhocracy.' According to this typology, the hierarchy culture was founded in Weber's bureaucracy theory. The theory focuses on 'internal efficiency, cooperation and maintains dominant characteristic' (Cameron & Quinn, 1999, p. 33). This culture type is control-oriented and focuses on the internal structure and operation of the organisation with close adherence to the organisation's efficiency, coordination and rules and regulations (Cameron & Quinn, 1999). In contrast, clan culture has a family-oriented focus. The motivation for this culture is to concentrate on internal issues and can be dynamic (Cameron & Quinn, 1999). The main characteristics of this culture are 'relationship-based which means that the organisation relies on partnerships, teamwork, and corporate commitment to managers' (Cameron & Quinn, 1999, p. 32). Organisations with this culture are reflective in their approach and use scrutiny and challenge the status quo to reach a higher level of efficiency and effectiveness.

The CVF utilised the two dimensions of flexibility and discretion versus establishing control and considered the external focus versus internal focus integration. Cameron and Quinn (1999, p.20) identified six organisational characteristics, such as '(1) dominant characteristics

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(varies with individual culture types) of the organisation; (2) organisational leadership; (3) management of managers; (4) organisational glue; (5) strategic emphases; and (6) criteria of success.' These dimensions and organisational characteristics define four types of organisational cultures in this typology.

While there are many differences in the characteristics of the four types of culture, there are also some similarities. All in all, while there are many different typologies of organisational culture existing in the literature, it is Cameron and Quinn's (1999) competing values framework. In this study, CVF will be used because it provides a valid comparison of the cultural types, especially the hierarchical culture, which is the foundational characteristic of the public sector.

In the culture change literature, the individual characteristics of employee behaviour are regarded as an additional but related component that significantly impacts the operating environment. Thus, if employees or the culture of the organisations' attitude toward organisational change is negative, they may resist the change, and as such, this may lead to the failure of the change initiative (Elias, 2009). This failure can create a problem where the behaviour of employees can be an obstacle to implementing organisational change. Alternatively, if 'employees are willing to adjust their behaviour in line with the envisaged change, then it is likely that organisational change will be successful' (van den Heuvel, Demerouti & Bakker, 2014, p. 12). Researchers, such as van den Heuvel et al. (2014, p. 6), recognise the importance of individual adaptive behaviour. The same authors (2014, p. 6) maintain that 'adaptive behaviour refers to the degree to which individuals cope with, respond to, and support changes that affect their roles'. Of course, any organisational disruption or change can be demanding or stressful for employees, and the internal behavioural characteristics of the organisation cannot be under-estimated. Consideration of behaviour

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patterns has been argued as being particularly important for organisations operating in unstable external environments, where recognising emergent patterns of behaviour appropriate to the external changes is considered an essential part of the strategic process that leads to effective organisational change (Combe & Botschen, 2004). Therefore, the evidence suggests that organisational culture impacts managers' acceptance or rejection of change. This is expressed as the following secondary research question:

SRQ3: How does public sector organisational culture impact managers' resistance to, or acceptance of change?

In sum, despite culture typology, a brief overview of the organisational change literature indicates that the role of managers is crucial to the change process. However, the bulk of the research has focused upon the tasks and processes involved in change, rather than the psychological state of employees and its impact on their ability to embrace or reject change. One psychological attribute that has been identified as impacting managers' attitude and subsequent adoption or rejection of change is a relatively new variable entitled Psychological Capital (PsyCap) identified by Positive Organisational Behavioural (POB) researchers.

Individual attributes – Psychological Capital

Psychological capital (PsyCap) is an example of an individual factor that individuals can rely upon when organisational factors are in deficit. In this research, PsyCap is defined as' positive emotions that relate to relevant attitudes and behaviours that can facilitate (or inhibit) positive organisational change' (Avey, Wernsing, & Luthans, 2008, p. 50). According to researchers (Nolzen 2018; Peterson, Luthans & Avolio, 2011), organisational factors (leadership and organisational culture) can either build or negate PsyCap in their action, either facilitating increased employee performance which ultimately acts as an antecedent of effective organisational change (Nolzen 2018; Peterson, Luthans & Avolio, 2011). Alternatively, it is

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anticipated that negative behaviours such as low employee performance, change fatigue or a lack of commitment to change initiatives are likely to impact change outcomes negatively. The negative responses and attitudes identified in the literature review maintain that employees with low PsyCap (low perceptions of self-efficacy, hope, optimism, and resilience) are likely to react negatively to proposed change (Avey et al., 2008; Luthans et al., 2010). These factors further substantiate examining PsyCap as an individual attribute to be explored in this study. Concluding, the evidence suggests that positive leadership approaches influence psychological capital, which affects managers' acceptance or rejection of organisational change. This proposition is expressed in the following secondary research question (SRQ).

SRQ 4: Does psychological capital influence managers' resistance to, or acceptance of change?

The proposed model of policy implementation

This paper emphasises the interrelationships between each conceptual element and has presented a literature review that explores variables within the proposed conceptual framework (see Figure 1 below). Upon reviewing the key concepts in this study, it is apparent that there are substantial interrelationships between all four conceptual elements as reviewed in this chapter. The policy literature review has reiterated the argument that policy implementation is a complex and multidimensional construct that has been the focus of many scholars and policymakers. This research identified vital determinates, such as a belief that managers were expected to do more with less under the guise of efficiency and effectiveness (Pollitt & Bouckaert, 2017). In order to deliver on these themes, policymakers and public managers were tasked with redefining service delivery options. This was further complicated by resource reduction and the trepidation of whether policies failed to achieve objectives (Pollitt & Bouckaert, 2017). These considerations have created layers of complexity that affects

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managers acceptance or resistance of reforms. The proposed model below (Figure 1) acknowledges that policy implementation progresses through several phases. The underlying assumption of the model is that diverse participants are responsible for different stages of the process.

Figure 1 Research Framework

METHODS

This study examines these factors in the public sector context during organisational change using two case studies. Senior and middle managers from two Australian federal public sector organisations undergoing organisational change were interviewed. The data source entailed came from semi-structured interviews with senior leaders (SES officers). These senior executives were at the head of their Department and thus responsible for implementing public policy in their Department. They were the senior leaders who led the change event/s in their Agency. Additional data were collected from focus group sessions. Participants in these focus group sessions were middle managers appointed at Executive Level 1 (EL1) and Executive Level 2 (EL2). These middle managers were responsible for supervising their teams while managing the constant and shifting workloads during organisational change.

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The research sample included employees who agreed to participate in this qualitative study. The sample included officers from the senior executive service (SES) and middle managers (Executive Level 2 and Executive Level 1) from the two case study agencies (Agency A and Agency B) of the Australian Public Sector (APS). Most participants were permanent employees. Many were working in the public sector for a period of more than one to thirty years. At the time of this research, the participants held either senior leadership or middle management positions. A small percentage of managers had a minimum of two years of public sector employment experience. This study included six interviews with senior executives and twenty-two middle managers across Agency A and Agency B. There was one interview with a senior executive of Agency A, and thirteen middle managers participated in three focus groups. In Agency B, there were five senior executives interviewed and nine middle managers participated in three focus groups. In total, 17 male managers and 19 female managers agreed to participate in the study.

Accordingly, the design of the research process, focus group and interview protocols. A rigorous approach to data analysis ensured adequate attention was paid to the trustworthiness criterion, as well as identifying potential limitations and ethical considerations were also addressed. The qualitative data were grouped into concepts (explanatory ideas) identified in the data in the first stages of analysis (McNabb, 2008). The cross-case synthesis technique was undertaken to identify emerging themes across two organisations and then collated them (Yin, 2014). The data were analysed using NVivo. The first stage of the process to import the de-identified data into NVivo. This was followed by the process of exploring the data and identifying emerging patterns or groups of concepts, which were coded to create nodes. The nodes represented themes, topics, concepts, ideas, and opinions. During this analytical process,

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a node hierarchy was established to link connections between themes. As a result of this process, major themes emerged (Yin, 2014).

The purpose of analysing the data and presenting the findings from qualitative data collected in two Australian public sector organisations (PSOs) (Agency A and Agency B) and to provide a comparative analysis of the data collected from semi-structured interviews with senior executives and focus groups with middle managers in those agencies. A table clarifying the similarities and differences between the two PSOs is presented (see Appendix 3). Elements such as brief histories, organisational size and structure, type of change and status are included in the table.

RESULTS

Both Agencies implemented policies before this study. Both agencies were given a brief to streamline management practices and focus on building a more productive workforce. There was one policy for Agency A and two policies for Agency B specifically related to this aim. The first impact within Agency A was significant workforce reductions. In Particular, Agency A retrenched 15,000 employees.

Comparably, Agency B was also impacted by this government reform, but far fewer job losses occurred. In accord with these austerity measures identified in media articles and corporate documents, an analysis of the impact of relevant policies will be discussed in this section. Findings from this analysis regarding Agency A and Agency B are discussed as follows. The outcomes related to both agencies are analysed in response to the primary research question: *'how does the role of policy, organisational factors (leadership and organisational culture) impact managers' resistance to, or acceptance of, change?'*

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Specific questions were asked about the extent to which managers adhered to policy in making changes in their Department in their capacity as line managers. The findings are from the analysis of 28 interviews across the two organisations, as detailed above. The emerging themes emerged from the study of manager's responses from both agencies. The policy goals were ambiguous in both Agency A and Agency B. As a result, the policy intention for both agencies created a disconnect between the vision (delivered by senior leaders) and the reality (middle manager experience). The findings from the focus group discussions with middle managers in Agency B suggest that there was frustration surrounding policy implementation. Still, there was a corporate commitment to performance management processes. The findings from both Agency A and Agency B have identified that the actual strategies to change the culture, accountability measures and or performance indicators were not apparent in any of the policy documents implemented. Finally, policy issues arising from data analysis will be addressed further in this paper under the relevant theme. For example, leadership (organisational factor) is presented next.

Leadership (organisational factor)

Leadership approaches emerged as a key theme from an analysis of the findings. Findings from the data suggest that leadership approaches have a significant impact on managers' resistance to, or acceptance of change. The secondary research questions (SRQs) guided the direction of analysing the data.

SRQ2: How do leadership behaviours impact managers' resistance to, or acceptance of change?

An analysis of these findings follows.

Agency A

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The findings suggest the dominance of the autocratic leadership model used by the managers with comments such as, *'I had to force people to change!'* (ExecA001). A further example of the autocratic leadership style is demonstrated in these comments: '*Staff were struggling with the transformation, and the SES managers were struggling with; 'what is wrong with you people?' We told you the strategy, just go and be different!'* (ExecA001). The executives' reproach was to suggest, *'All their life staff have been put in front of processes, procedures and protocols and were waiting for someone to spoon-feed them'* (ExecA001). Some comments refute this direction by acknowledging that, '*We knew the change was coming; we were told, but we weren't told how to deal with it. We were just expected to deal with it. And I think that reflects on how well or not well it was managed* (FGA003).

This discussion provides evidence of the apparent tension between senior leaders and middle managers. Findings from the data suggest that senior executives expected that the role of middle managers was to operate under broad direction in a highly complex environment. This expectation has raised some tension between senior executives and middle managers. The discussion above provides evidence that there was a disconnect between the perspectives of senior executives and middle managers about how and what to implement. Findings from the data provide support for the proposition that senior leaders in Agency A adopted the autocratic leadership style. However, the disparate perspectives between senior leaders and middle managers suggest a range of deeper tensions. Tensions were created by issues related to conflicting messages, a failure to amend bureaucratic processes, lack of reflection by senior managers. The data identified an inability by middle managers to adapt after years of being told what to do. This failure to amend bureaucratic processes that would support change was evidenced by the lack of instruction or training from senior leaders. Further, it is essential to

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note a lack of clarity of 'what to implement'. To exacerbate the confusion, middle managers did not receive adequate training about 'how to implement' expected changes of team functionality.

Agency B

The findings suggest evidence of transactional and transformational leadership styles. In particular, senior executives ascribed to a more transformational leadership approach. However, there was also evidence of bureaucratic forms of management. Interestingly, there was not a lot of coinciding or supportive data from middle managers to confirm or disagree with the perspectives of the executive. The following examples illustrate this view.

> *'My desire is to connect with the hearts and minds of the people and to check understanding and the emotional barometer' (ExecB001).*

> *'It is important for senior leaders to be a visionary or role model to demonstrate and showcase leadership capability and to lead the change and bring the organisation along on the journey. That is, we must communicate the vision but ensure to state how we will change' (ExecB004).*

> *'As a senior leader in the Australian Public Service (APS), I am constantly striving for a healthy ecosystem. It is all about connecting with a wider context and bringing back current thinking into the organisation' (ExecB001).*

Middle managers provided some insight into their perspective of leadership approaches in the following examples.

> *'I've been through a couple of internal restructures. One was due to budget pressures. It was a 'spill' and people had to apply for their own jobs. It was not handled very well, but I think that they've got better at managing those things now' (FGB002).*

> *'There is a lot of middle managers with limited opportunities for them to supervise or manage others, so those traditional leadership capabilities are not realised. So, I am moving to a project-based structure' (ExecB003).*

In sum, this discussion provides support for the findings that both organisations have bureaucratic leadership styles. Agency A has demonstrated an autocratic approach to leadership. Instead, Agency B leaders are positing a transformational leadership style.

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However, because of the lack of data from middle managers in Agency B, it is difficult to surmise if the transformational leadership approach can be validated in these findings.

Organisational culture (organisational factor)

Public sector culture emerged as a key theme in this research. The findings were based on responses from the secondary research question.

SRQ: 3 How does public sector culture impact managers' resistance, to or acceptance of change?

Further, the findings revealed that there is a mix of perceptions regarding organisational culture. An analysis of the findings is presented below.

Agency A

According to the interview with the senior executive from this Agency, the first deliverable of the policy implementation process was to change the culture of the organisation. It is noted that, in interviews with the executive at the commencement of implementation, there was a disconnect between the vision of *'empowered and trusted culture'* and the reality expressed by middle managers (focus groups). Perhaps this disconnect was promulgated with the thinking in the following comment *'to give life to a change of culture – we need to see a reduction in this idea of entitlement, that I kind of feel pervades the public service to a very large degree'* (ExecA001).

The disagreement about public sector versus private sector was further intensified by executives who suggested that *'there's some cultural stuff that we haven't even touched on that needs to be touched on because, it's like the agency agreement that hasn't been signed off. Staff get really angry, and I get that, but if you're in private enterprise looking at the deal on the table right now, you would just think it's so sweet'* (ExecA001).

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Middle managers were focused on their operating environment, '*we have a culture that is long-established of operating in vertical silos'* (FGA002). However, there are some areas of the organisation that have experienced a change in culture, or at the very least a notable restructure of the functionality of their environment. Focus group statements evidence, '*the cultural change in IT has centralised all of the divisions. The Department is more centralised now. That means we are more responsive to business needs. We spent lots of money, and we implemented systems and processes from that. It is still not successful as there are lots of complaints from the community'* (FGA001). Unfortunately, this comment does not align with the 'customer-centric commitment in the *Reinventing Agency A: Program Blueprint (2015)* policy.

Agency B

In terms of culture, this Agency presents as bureaucratic. Findings from the data suggest that the Agency is striving toward a top-down and bottom-up culture. As a way to transform the culture into a more innovative, trusted and dynamic culture, executives suggest,

> '*in the public service there is a tendency not to admit your mistakes because you'll get jumped on from a great height if you make a mistake or you'll get smacked. And that tends to dampen any sort of innovation because people are so fundamentally risk-averse and fearful that they're not game enough to challenge anything'* (ExecB004).

Even so, another executive maintains that:

> '*senior executives across the department have an appetite for and support innovative strategies'* (ExecB002).

In support of these strategies, executives suggest that,

> '*innovation in this Department has the courage to challenge the status quo and explore some innovative ways of thinking and doing. In my branch, I expect my staff to challenge me to discover new ways of doing things. I don't mind being told that I am wrong (not that I particularly like it) if the argument is sound and offers an innovative or creative solution to outdated practices'* (ExecB005).

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This discussion provides support for the findings that this Agency is attempting a cultural change. The results also suggest that senior leaders are changing their behaviour as a way to lead the proposed change.

This research study identified a bureaucratic culture. It appears that Agency A's intention to address the culture change has fallen short of the expectation to shift to a more dynamic and private sector culture type. At the time of this study, there were indicators that the vision of cultural change did not positively reflect middle managers. The discussions with middle managers reflected these indicators to change the culture. In contrast, Agency B data indicated a shift to a more dynamic or innovative culture. At least these were the testimonials from the executive to suggest that notion. In contrast, the focus group (middle manager) data did not endorse these statements by senior leaders.

Individual attributes (Psychological Capital)

The individual attributes of both organisations were examined further by asking the following secondary research question.

SRQ: 4 Do individual attributes (psychological capital) influence managers' resistance to or, acceptance of change?

Agency A

The findings suggest that PsyCap appears to be low in Agency A. At the outset, there seems to be an issue regarding the level of commitment of staff to follow the directions as set out in the policy, Reinventing Agency A: Program Blueprint (2015). This issue is addressed by a senior executive who indicates that:

'people are slow to change the way they are used to doing things, and people like the idea of trying something new but they like the idea of it more than having them apply it because that takes effort' (ExecA001).

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This comment suggests that staff and managers are resistant to change.

Embracing the level of commitment from senior leaders is referred to in this comment.

> *'if you want a commitment from staff, staff need to feel there is commitment coming back the other way, and I don't' think that is happening'* (FGA001).

This is a balanced perspective and one that would certainly improve with a positive shift in PsyCap during change. Finally, there is a level of despondency between a manager and her team. This is illustrated in the following quote,

> *'As a manager, you have a duty of care, and the reality is impacting our staff's wellbeing and their lives so significantly they could just take their own life. I was following a process, but I had to back-off as she could have committed suicide. I kept asking her if she was okay. I had to be honest and say, I can't make your world rosy anymore'* (FGA003).

Agency B

The findings suggest that the psychological capital (PsyCap) of Agency B appears to be slightly higher than Agency A. The recognition of an improved degree of PsyCap could be attributed to the care and concern offered by the senior executives. This finding has been expressed,

> '*we do a positive health-check on our staff and managers'* (ExecB001).

To further validate the recognition of PsyCap and a positive and considered note focus groups proposed,

> *'we have to be responsive. We are, as public servants required to go where the function goes, so there's a level of that accepted and it's important to understand that as an individual, but it is also important to understand the personal impact on the individual'* (ExecB001).

This discussion suggests that, in the public sector today, there is an expectation that public servants need to be resilient and adaptable to change.

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In contrast, there seems to be a denial regarding the concept of change fatigue. Interview data from Executives argue that:

'change fatigue is just a fallacy. To me, that's an excuse not to engage' (ExecB002).

In contrast, focus group data suggests that,

'everyone is pretty pragmatic and emotionally mature about resource reduction issues, we're lucky' (FGB001).

Further,

'I am fortunate that I have never had a change forced on me. So, I've moved because my role moved. I've been told that you are doing this today. And I am like, okay!' (FGB002). Finally, *'I have a monthly reward award for my staff. I do that because I know I am going to get a positive return from them. It makes them feel good, and I am going to get better productivity* (FGB002)'.

Indeed, PsyCap was the source of inspiration for this study. The findings suggest that there is a lack of resilience in the face of change. Thus, resilience has been identified as an essential factor in this study. The findings also suggest that there is little evidence of hope, optimism, or efficacy. An analysis of these findings further suggests that managers' resistance to change is linked to low PsyCap. It has made a significant impact on the status of organisational change. The negative comments from managers from both agencies are noteworthy.

Regarding the impact on middle managers readiness, the expectations of a change in the public sector culture, and the influence of psychological capital on middle managers during organisational change. As a result, this research adds to a better conceptual and pragmatic understanding of how the role of policy, organisational factors (leadership and organisational culture) and individual attributes (psychological capital) impact managers' resistance to, or acceptance of change.

DISCUSSION

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This paper examined the impact of policy, organisational and individual factors on the decision by managers to implement organisational changes. Four secondary research questions were used to address the primary research question. These secondary research questions (SRQs) are presented below, followed by a summary of findings. The first SRQ examined how does policy impact managers' resistance to, or acceptance of change.

The review of the policy literature has reiterated the argument that policy implementation is a complex and multidimensional construct that has been the focus of many scholars and policymakers. This research identified vital determinates, such as believing that managers were expected to do more with less under the guise of efficiency and effectiveness (Pollitt & Bouckaert, 2017). To deliver on these themes, policymakers and public managers were tasked to redefine service delivery options. These considerations have created layers of complexity that affects managers acceptance or resistance of reforms. However, the most notable finding of the research is that austerity-driven policies appeared to be the primary driver of policy goals for Agency A. Therefore, any decisions made by managers was shaped by this fundamental criterion. It was less evident in Agency B, where the policy framework goals were more in line with the stated policy of reforming practices to streamline processes to achieve greater coherence in policy and practice.

The second SPQ examined how do leadership approaches impact managers' resistance to, or acceptance of change.

This research identified the involvement, influence and responsibility of senior leaders and middle managers of the public sector during the policy implementation process. It is suggested that each phase depends on senior leaders' behaviour and attitude and the impact on middle managers. Indeed, the literature indicates that leadership is a multi-faceted and dynamic process of capability growth that combines personal and interpersonal characteristics (Day,

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2010). Various leadership models have been explored in this study. Over decades of transformative public sector leadership models, substantial changes have traditionally been influenced by political, economic, and cultural differences (de Vries, Bekkers & Tummers, 2015; Van Wart, 2013). For instance, these changes have focused on how public sector leaders perform (Antonius, 2014; de Vries, Bekkers & Tummers, 2015). There has been considerable prominence on public sector leadership accountability, performance improvement and focus on customer-service delivery (Van Wart, 2013). As the literature suggests, positive leadership approaches affect managers' acceptance or rejection of change (Day et al. 2014; Hoch et al., 2016). As indicated in earlier discussions, leaders play a significant role in policy implementation and the organisation's culture. The study also proposes that culture can be a barrier or a facilitator to policy implementation. However, the type of leadership was autocratic in nature with elements of a more transformational approach in Agency B.

The third SRQ examined the role of organisational culture impact managers' resistance to, or acceptance of change.

It is posited that middle managers sometimes have unique established rules, values, and practices (organisational culture) that provides the platform that determines the extent to which resistance or acceptance will impact change (Xerri et al., 2015). Indeed, if the manager or the culture of the organisations' attitude toward organisational change is opposing, they may resist the change. As such, this may lead to the failure of the change initiative (Elias 2009). To illustrate, if 'managers are willing to adjust their behaviour in line with the envisaged change, then it is likely that organisational change will be successful' (van den Heuvel, Demerouti & Bakker 2014 p. 12). In this study, the findings suggest cultural frameworks closed towards adapting change in both organisations, with elements of change fatigue evident in both organisations.

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The fourth SRQ examined the role of individual attributes (psychological capital) in influencing managers' resistance to, or acceptance of change.

The individual attributes of the psychological capital (PsyCap) of managers were examined concerning the change process. Examination of the literature about PsyCap has identified the impact of managers' attitude and resistance to or acceptance of change. Thus, the negative responses and attitudes identified in the literature review maintain that employees with low PsyCap (low perceptions of self-efficacy, hope, optimism, and resilience) are likely to react negatively to proposed change (Avey et al. 2008; Luthans et al. 2010). These factors further substantiate examining PsyCap as an individual attribute to be explored in this study. Positive leadership approaches influence psychological capital, which affects managers' resistance to, or acceptance of the organisational change.

As stated, the most significant finding is that irrespective of the said policy being implemented, that austerity-driven funding goal dominated organisational changes in Agency A. In contrast, there appeared to be a genuine attempt to change the structure and function of Agency B. However, austerity goals still underpinned some decision making. Additionally, Agency A was dominated by autocratic leadership behaviours. In contrast, there was a mixture of transformational and transactional leadership behaviours in Agency B. Further, there were two different types of organisational culture evident in the two organisations, with a bureaucratic culture dominating Agency A. This study also indicated that the culture was more engaging and dynamic in Agency B. The data reveals that middle managers were consulted and included in the change process.

Further, middle managers and staff were supported by diverse capability development opportunities. These capability development opportunities created a more

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engaging culture during change. Similarity across the two organisations was a depletion of PsyCap amongst managers undertaking the task of implementing change.

The policy objective to streamline organisational operations was on the organisational transformation agenda for Agency A (especially in terms of better servicing the client). However, as stated, the significant reduction in human resources lead to the policy implementation outcome o being under threat as there were far fewer employees to meet the demands of the modernisation plans as well as simultaneously achieving the business deliverables. Additionally, as stated in the *Reinventing* [Agency A]*, Program Blueprint* (2015), the theme was, *'to achieve the most effective and efficient way to consolidate shared and common service delivery in a manner that represents value for money to Government'* (p. 2). However, analysis of the interview data suggests that these objectives would not be achieved due to the shortage of trained resources. Also, due to the lack of performance management indicators, there was no means to monitor the progress of these objectives. One explanation could be that the policy was never intended to be implemented. Another reason is that whilst the policy objectives were considered necessary. The austerity objective was considered more important. Irrespective, policies were found to impact managers' acceptance or to thwart proposed change significantly. However, some policies had a more considerable impact. The policy announcement by the Minister stating the immediate reduction of a large number of staff in Agency A had a far more significant effect than any subsequent new policy attempting to improve client services.

However, irrespective of the policy, the task of day-to-day handling operations in the wake of significant reductions in human resources in Agency A from a policy announcement and a more targeted policy-directed decrease in staff in Agency B suggests that managers shaped how the policies were implemented in each Agency. Generally, the findings from both

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organisations indicate that the success of policy implementation is strongly dependent upon the behaviour of the middle manager operating within an organisation. In particular, the analysis of the findings from focus group discussions with middle managers supports the premise that policy does affect managers' resistance to, or acceptance of change. It is essential to understand the impact of the epidemic proportions of public sector change occurring over the past decade (Brunetto & Teo, 2018; Kiefer et al., 2014). It is, therefore, not surprising that much of the change was frequently unsuccessful (Blackman et al., 2015). There is evidence to suggest that change initiatives and organisational restructures are hindered by bureaucracies and risk-averse professional practices that rely on the management commitment and employee engagement before, during and after the organisational change event (Blackman et al., 2015). Indeed, change within an organisation sets out to alter the characteristics of that organisation, be it radical (Agency A) that may disrupt the very fabric of the organisation; or emergent (incremental) (Agency B) change restructuring or repurposing its function to steer a new direction. Such alterations, albeit radical or incremental, necessitate significant discontinuities in the relationships between the organisation and those who work within that context (Price & van Dick, 2012) and the formation of new relationships. The findings have affirmed these theoretical conclusions.

These factors best explain why policies fail to be implemented in organisations, particularly the role of actors in the implementation process because organisational behaviour (OB) change management identifies this factor as an essential driver impacting managers' resistance to, or acceptance of the change.

CONCLUSION

Public sector change is diverse because the role of policy and organisational factors is diverse, leading to significantly different change journeys for various public sector

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organisations. However, these two case study agencies are representative of Australian public sector organisations today. In terms of the model examined in this paper, each factor was significant. Still, to varying degrees depending on the decisions made at a senior level of the organisation, hence the pathway followed was different, leading to different outcomes.

Implications for better organisational change practice

This research examined the impact of policy on (organisational factors) leadership and organisational culture and individual attributes (psychological attributes) and how these factors combined to influence managers' resistance to, or acceptance of change. What was unexpected and emerged from the data was identifying the individual, organisational and contextual factors affecting managers' acceptance of, or manager resistance to change, and its impact on organisational change outcomes in two public sector organisations (PSOs).

The study offers meaningful, timely knowledge and insight relevant to both the academic and practitioner perspectives. This research contributes to ongoing research exploring variances found in organisational change theory, implementation theory, and hidden variables of organisational behaviour theory. In this study, theoretical links have been explored, albeit in two various public-sector agencies with a relatively small group of respondents undergoing policy implementation reforms. However, the theoretical discussion presented in this thesis contributes to the broader discussion. It explores the current theoretical premise of organisational change across public and private sectors.

It became clear that the capability of leaders impacted on managers' acceptance or resistance to change has a profound influence on policy implementation outcomes. To this

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end, it also became clear that the acceptance or resistance of the public-sector sector culture within an organisation was also as influential on organisational change outcomes.

It is anticipated that future research studies consider manager change readiness during change. Also, it is further suggested that the level of psychological capital of managers and staff at all levels be considered.

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Stream Number 2 Organisational Behaviour

Happy to serve: Examining the antecedents of naturally felt emotions among service workers

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Stream Number 2 Organisational Behaviour

Happy to serve: Examining the antecedents of naturally felt emotions among service workers

ABSTRACT: *The emotional labour literature has mainly focused on two emotional labour strategies: surface and deep acting, neglecting the third type called, the expression of naturally felt emotions (ENFE). Drawing from conservation of resources theory, we examine emotional intelligence and perceived organisational support as antecedents of ENFE. More importantly, we examine two mediating mechanisms that can explain the proposed relationships: occupational self-efficacy and organisational identification. Time-lagged data from 286 customer service workers were collected to test the study hypotheses. Our results showed that emotional intelligence and perceived organisational support positively predict ENFE. Moreover, we found that occupational self-efficacy and organisational identification mediated the relationships and offered unique amounts of variance in predicting ENFE when tested in parallel.*

Keywords: Emotional labour, expression of naturally felt emotions, conservation of resources theory

One of the explicit job requirements for many service employees is to show positive emotions such as happiness and enthusiasm towards their customers. To meet such job requirements, employees engage in emotional labour (EL), which refers to displaying appropriate emotions following organisational display rules (for review, see Grandey & Melloy, 2017). Most of the studies on EL focused on two emotion regulation strategies employees use to adhere to display rules: surface acting and deep acting (Hochschild, 1983; Grandey & Melloy, 2017). Surface acting involves changing emotional expression to match display rules by hiding felt and/or showing unfelt emotions (e.g., faking). Conversely, deep acting involves changing the emotion one feels through cognitive strategies to display required or expected emotions.

However, it is also possible for employees to naturally feel and express required emotions, allowing them to adhere to emotional display rules with less effort (Ashforth & Humphrey, 1993). This type of emotional labour strategy has been referred to as the expression of naturally felt emotions (ENFE; Diefendorff, Croyle, & Gosserand, 2005). Indeed, research indicates that it is more common for employees to engage in ENFE compared to surface and deep acting (Diefendorff et al., 2005; Scott, Lennard, Mitchell, & Johnson, 2020). Despite this, we know little as to the factors that facilitate the expression of naturally felt emotions.

Because of the focus on surface and deep acting, engaging in EL has been predominantly viewed as taxing for employees (e.g., Esmaeilikia & Groth, 2019; Grandey & Sayre, 2019). For

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instance, meta-analyses consistently reveal that surface acting is negatively related to both well-being and performance, whereas deep acting is only positively related to performance but not related to well-being (Hülsheger & Schewe, 2011; Kammeyer-Mueller et al., 2013). By comparison, far less attention has been given to the expression of naturally felt emotions (ENFE; Ashforth & Humphrey, 1993; Diefendorff, Croyle, & Gosserand, 2005). ENFE involves displaying required emotions in a more authentic and less effortful manner. Compared to deep and surface acting, ENFE is considered more beneficial as it has been found to be positively related to both performance and well-being outcomes (Aw, Ilies, & De Pater, 2019). Moreover, research indicates that it is more common for employees to engage in ENFE compared to surface and deep acting (Diefendorff et al., 2005; Scott et al., 2020). Although some studies have investigated the antecedents of ENFE, they only examined direct effect relationships neglecting the possible mechanisms that explain how personal and contextual factors influence ENFE (Diefendorff et al., 2005; Walsh & Schaarschmidt, 2020). Furthermore, while some prior work has considered mediators, these were examined in isolation, limiting our understanding of their relative importance and unique contributions (e.g., Cossette & Hess, 2012; Yan, Xi, & Yiwen, 2014).

The purpose of this study is to address the aforementioned gaps by examining the personal and contextual antecedents of ENFE and the mediating mechanisms that facilitate these relationships. Specifically, we use the conservation of resources theory (COR; Hobfoll, 1989) as our overarching framework. COR theory proposes that the initial set of resources a person has can lead to the acquisition of additional resources resulting in a gain spiral (Hobfoll, 2001). We argue that emotional intelligence (EI) and perceived organisational support (POS) influence ENFE because service workers are a) able to feel confident about being successful in their work tasks (e.g., occupational self-efficacy) and b) feel a sense of belonging and oneness with the organisation (e.g., organisational identification). Specifically, we propose that relationship between emotional intelligence, POS, and ENFE is mediated by occupational self-efficacy and organisational identification (see Figure 1).

Insert Figure 1 about here

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THEORY AND HYPOTHESES

Emotional Intelligence, Perceived Organisational Support and Naturally Felt Emotions

In the customer service context, where employees are generally required to display positive emotions towards customers, high EI levels in employees help them perceive, understand, and evaluate their own and customers' emotions, which in turn leads to more successful interaction with customers (Delpechitre & Beeler, 2018). Moreover, high EI levels allow individuals to regulate their emotions more appropriately, thus making them more adaptive and flexible (Delpechitre & Beeler, 2018) when dealing with stressful situations at work. Accordingly, EI facilitates the emotion regulation process and individuals with high EI are better at performing EL and meet display rules requirements to provide better customer service (Johnson & Spector, 2007). Mikolajczak, Menil, & Luminet (2007) have argued that employees with high EI would exert less effort when expressing organisationally required emotions and thus, provide a positive customer service experience. Drawing on these arguments, we propose the following:

Hypothesis 1a. Emotional intelligence is positively related to ENFE.

POS refers to employees' belief that their organisations value their contributions and care for their well-being (Eisenberger, Huntington, Hutchison, & Sowa, 1986). POS is a contextual resource that can generate positive emotions in employees (Wen, Huang, & Hou, 2019). The positive emotions experienced as a result of POS can facilitate ENFE as it aligns with positive organisational display rules making adhering to these rules more authentic and less effortful. In addition, when POS levels are high, employees feel obliged to return the organisational support they receive, and in exchange for such favourable treatment, they are more motivated to display organisationally valued behaviours to achieve organisational objectives (e.g., serving customers with a smile) (Eisenberger, Armeli, Rexwinkel, Lynch, & Rhoades, 2001). Given these, we propose the following:

Hypothesis 1b. Perceived organisational support is positively related to ENFE.

The Mediating Role of Occupational Self-Efficacy

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One mechanism that can explain the relationship between EI, POS, and ENFE is occupational self-efficacy (OSE). According to social cognitive theory (SCT) (Bandura, 1997), self-awareness motivates and regulates individuals' behaviour and has a significant role in developing one's self-efficacy. Individuals who have high levels of EI are more aware of their emotions and would be able to be better recognise emotional cues from their environment (Gundlach, Martinko, & Douglas, 2003). Service workers with high levels of EI are also able to control their emotions and make more precise appraisals of work incidents which increases their belief about successfully completing work tasks. Building on SCT theory principles, we suggest that individuals with high levels of EI are more able to feel confident adhering to emotional display rules and express required emotions due to their increased awareness of their own and other's emotions. Indeed, prior work found a positive association between EI and OSE (e.g., Fabio & Palazzeschi, 2008). In the context of service employees, we argue that having high levels of OSE facilitates ENFE because feeling confident about the tasks associated with one's job includes adhering to emotional display rules. This confidence, brought about by high EI levels, facilitates more authentic and less effortful emotional expression. Based on theoretical and empirical considerations, we predict the following:

Hypothesis 2a. Occupational self-efficacy mediates the relationship between emotional intelligence and ENFE.

Bandura (2000) argued that four sources of information, namely mastery experience, vicarious experiences, social or verbal persuasion, physiological and emotional states, influence individuals' self-efficacy levels. POS can affect many of these sources to increase individuals' self-efficacy levels, such as motivating and encouraging employees to perform more mastery tasks by providing constructive feedback on their performance (Caesens & Stinglhamber, 2014). Also, POS can affect employees' physiological and emotional states by assisting employees in dealing with stressful situations. According to social cognitive theory, individuals who receive support are more likely to use more effort to meet the job requirements and become successful (Wood & Bandura, 1989). Empirical findings support the positive relationship between POS and self-efficacy (Caesens & Stinglhamber, 2014). In the customer service context, employees are generally required to display

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positive emotions to customers; thus, employees with high OSE levels will naturally express required emotions instead of modifying their emotions while dealing with customers. Based on the theoretical discussion, we predict the following:

Hypothesis 2b. Occupational self-efficacy mediates the relationship between perceived organisational support and ENFE.

The Mediating Role of Organisational Identification

Another mechanism that could potentially mediate the relationships between EI, POS, and ENFE is organisational identification (OI). According to social identity theory (SIT), individuals classify themselves and others into different social groups, such as religion, gender, and organisational membership (Tajfel & Turner, 1985). Social identity provides a shared identity to its members that influences who they are, what they believe in, and how they act (Hogg, 2016). Organizational identification signifies a high sense of belongingness and oneness with the organization. High levels of EI allow individuals to understand their organisation's norms, rules and required informal behaviour and behave accordingly (Carmeli & Josman, 2006). Acting according to organisational prescribed norms can lead to receiving acknowledgement or positive feedback from the organisation, and such frequent positive experiences can develop organisational identification (Garcia-Falières & Herrbach, 2015). Moreover, individuals with high EI demonstrate a better ability to facilitate and navigate interactions with others because of their ability to communicate using their emotions to achieve objectives, and such affective events and social interactions determine individuals' identification with the organisation (Prati, McMillan-Capehart, & Karriker, 2009). That is, when employees understand their organisations' requirements better, they understand their coworkers better, which increases their sense of belongingness towards the organisation; thus, high levels of EI in employees increase OI in employees (Yan et al., 2014). Due to the high level of OI, employees tend to display such emotions and demeanour that can benefit their organisations. Also, employees with high OI levels consider their organisational goals as theirs; thus, they are more likely to act following organisational expectations (Mael & Ashforth, 1992). As such, we expect employees

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with high levels of EI and OI to feel and exhibit required organisational emotions naturally during their interaction with customers. Hence, we propose:

Hypothesis 3a. Organisational identification mediates the relationship between emotional intelligence and ENFE.

The perception of organisational support provides a socioemotional function (Rhoades & Eisenberger, 2002). When employees perceive their socioemotional needs such as esteem and emotional support are met, they develop oneness with their organisation and incorporate their membership and role status into their social identity (Rhoades & Eisenberger, 2002). Employees who identify themselves with their organisation feel their organisation's success and failure as their own. They act to fulfil organisational goals (Mael & Ashforth, 1992) and thus feel expressing organisationally required emotions genuinely. Based on the theoretical discussion, we propose:

Hypothesis 3b. Organisational identification mediates the relationship between perceived organisational support and ENFE.

Simultaneous Mediation by Organisational Identification and Occupational Self-Efficacy

We propose that OSE and OI simultaneously mediate the relationship between EI, POS, and ENFE. We examine OSE and OI simultaneously in our model as they represent different mechanisms. That is, OI is related to the individuals' perception of oneness with the organisation (Mael & Ashforth, 1992). In contrast, OSE is related to the confidence of individuals in their capabilities in performing different job-related tasks and achieve efficiency in meeting various challenges at work (Schyns & Von Collani, 2002). Moreover, self-efficacy is categorised as a key resource that individuals can use to manage and modify other resources for gaining new resources to gain beneficial consequences (Ten Brummelhuis & Bakker, 2012). Though both mechanisms are different from each other, they are equally significant in determining ENFE because COR theory posits that resources travel in caravans, meaning that resources are associated with other resources instead of existing in isolation. Due to the enrichment of initial resources, EI and POS, individuals can develop OSE and OI that can interact with each other. Therefore, we expect both OSE and OI can provide a unique positive

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contribution to predicting ENFE for individuals with high levels of EI and high levels of POS. Based on the discussion, we predict the following:

Hypothesis 4. Occupational self-efficacy and organisation identification simultaneously mediate the relationships between (a)EI and ENFE and (b)POS and ENFE.

METHOD

Participants and Procedure

Participants were recruited for this study with the assistance of a professional online survey panel provider based in Australia. To be included in the study, participants need to be currently employed in customer service with face-to-face or voice-to-voice (via telephone, VoIP like Zoom, Skype etc.) interactions with customers for at least 20 hours per week (e.g., Alabak, Hülsheger, Zijlstra, & Verduyn, 2019).

At Time 1 (T1), a total of 842 completed questionnaires were received, which contained demographic information and scales that assessed EI, POS and neuroticism. A total of 307 responses were excluded because they failed either the inclusion criteria or all attention check questions or provided incomplete responses. This resulted in a total of 535 usable responses in T1. At Time 2 (T2) (two weeks after T1), participants were asked to complete another questionnaire containing scales for OSE, OI and ENFE. From the 304 responses received, a total of 18 responses were excluded due to failure in all attention checks and incomplete responses, which resulted in a final sample of 286 matched T1 and T2 responses. Among the respondents, 55% were female, and the average age was 38.36 years (SD = 11.3). Almost 42 % were in the 31 – 40 years old age group, and approximately 49% of respondents had been working in their current organisation for five years or less.

Measures

Established scales were used to measure the study variables. Unless otherwise specified, all items were measured using a 1-7 Likert-type scale (1 = Strongly Disagree to 7 = Strongly Agree).

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Emotional intelligence (α = .92). EI (T1) was measured using the Wong and Law Emotional Intelligence Scale (Wong & Law, 2002). It comprises four subdimensions, namely self-emotion appraisals (SEA; "I have a good understanding of my own emotions"), other's emotion appraisal (OEA; "I am a good observer of others' emotions), use of emotion (UOE; "I always tell myself that I am a competent person"), and regulation of emotion (ROE; "I have good control of my own emotions").

Perceived organisational support (α = 0.93). POS (T1) was assessed using the eight highest loading items from the scale developed by Eisenberger et al. (1986). A short version of the scale does not demonstrate issues as the original scale is unidimensional with good internal reliability (Rhoades & Eisenberger, 2002). Prior work has also used this scale (e.g., Shen et al., 2014). A sample item included, "The organisation really cares about my well-being".

Occupational self-efficacy (α = 0.93). OSE (T2) was measured using the short version scale developed by Schyns and Von Collani (2002). This scale consists of eight items. A sample item is, "I meet the goals that I set for myself in the job". Respondents were asked to respond on a scale ranging from 1 (completely true) to 6 (not at all true).

Organisational identification (α = 0.91). OI (T2) was measured by the scale developed by Mael and Ashforth (1992). The scale comprises of six-items. A sample item is, "This organisation's success is my success".

Expression of naturally felt emotions (α = 0.91). ENFE (T2) were assessed using a three-item scale from (Diefendorff et al., 2005). A sample item is, "The emotions I show to customers come naturally".

Control Variables. We control for age, gender, tenure, and neuroticism in the study. Age has been found to be positively related to ENFE (Dahling & Perez, 2010). The gender effects on performing emotional labour come from research suggesting that women, as compared to men, are more likely to hide or suppress their true emotions (Kruml & Geddes, 2000) and express emotions according to organisational display rules. Evidence suggests the negative relationship between tenure

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and EL, that is, untenured employees engage in higher EL levels compared to tenured employees (Tunguz, 2016). The ability to perform emotion regulation is negatively related to neuroticism; that is, neuroticism would be negatively related to ENFE (Austin, Dore, & O'Donovan, 2008). Hence, we controlled for neuroticism (Soto & John, 2017; $\alpha = 0.73$) in the study. A sample item is "I am someone who worries a lot".

RESULTS

Descriptive statistics, bivariate correlations, and reliability coefficient are presented in Table 1. We controlled four variables, namely tenure, gender, age and neuroticism, in all analyses because of their effects on tested variables. Consistent with Hypothesis 1a, EI is positively related to ENFE ($B = 0.51$, $p < 0.05$). Similarly, consistent with Hypothesis 1b, POS is positively related to ENFE ($B = 0.30$, $p < 0.05$).

Insert Table 1 about here

Hypothesis 2a proposed that OSE mediates the relationship between EI and ENFE. Both the total effect (total effect = 0.76, SE = 0.07, 95% CI [0.60, 0.92]) and direct effect (direct effect = 0.52, SE = 0.08, 95% CI [0.36, 0.69]) were significant. T1 EI was found to have an indirect effect on T2 ENFE via T2 OSE (indirect effect = 0.23, SE = 0.06, 95% CI [0.11, 0.37]). Hypothesis 2b proposes that OSE mediates the relationship between POS and ENFE. Both the total effect (total = 0.27, SE = 0.04, 95% CI [0.17, 0.36] and the direct effect (direct effect = 0.16, SE = 0.04, 95% CI [0.07, 0.25]) were significant. T1 POS was found to have an indirect effect on T2 ENFE [indirect effect = 0.10, SE = 0.03, 95% CI [0.04, 0.17] via T2 OSE. Given that the confidence intervals for the indirect effects were positive, and do not include zero, hypotheses 2a and 2b were supported.

Hypothesis 3a proposed that OI mediates the relationship between EI and ENFE. Both the total effect (total effect = 0.76, SE = 0.07, 95% CI [0.60, 0.92]) and the direct effect (direct effect = 0.56, SE = 0.08, 95 % CI [0.39, 0.72]) were significant. T1 EI was found to have an indirect effect on T2 ENFE (indirect effect = 0.20, SE = 0.05, 95% CI [0.09, 0.31]) via T2 OI. Hypothesis 3b proposed that OI mediates the relationship between POS and ENFE. The total effect (total effect = 0.27, SE =

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0.04, 95% CI [0.17, 0.36]) was significant, but the direct effect (direct effect = 0.08, SE = 0.05, 95% CI [-0.01, 0.19]) was insignificant. T1 POS was found to have an indirect effect on T2 ENFE (indirect effect = 0.18, SE = 0.04, 95% CI [0.10, 0.27]) via T2 OI. Given that the confidence intervals for the indirect effects were positive and do not include zero, hypotheses 3a and 3b were supported.

Hypothesis 4a predicted that OSE and OI simultaneously mediate the relationship between EI and ENFE. The total indirect effect (total indirect effect = 0.34, SE = 0.07, 95% CI [0.19, 0.49], direct effect [direct effect = 0.42, SE = 0.08, 95% CI [0.25, 0.59], and specific indirect effects via OI [OI indirect effect = 0.15] and OSE [OSE indirect effect = 0.18] were significant. Finally, hypothesis 4b proposed that OSE and OI would simultaneously mediate the relationship between POS and ENFE. The total indirect effect (total indirect effect = 0.20, SE = 0.04, 95% CI [0.12, 0.30] and specific indirect effects via OI [OI indirect effect = 0.12] and OSE [OSE indirect effect = 0.08] were significant. However, the direct effect (direct effect = 0.06, SE = 0.04, 95% CI [- 0.03, 0.16]) was not significant. Given that the confidence intervals for the indirect effects were positive and do not include zero, hypotheses 4a and 4b were supported.

DISCUSSION

The primary aim of the study has been to investigate the antecedents of ENFE. Drawing on conservation of resources theory, social cognitive theory, and social identity theory, we developed and tested a theoretical model and examined the role of EI and POS in determining ENFE and the mediating role of OSE and OI in facilitating these relationships. Consistent with COR theory (Hobfoll, 1989), emotional intelligence and POS can be conceptualised as personal and contextual resources. These resources help employees achieve other resources such as occupational self-efficacy and organisational identification to fulfil their job requirements and express their natural emotions.

Theoretical and Practical Implications

This paper contributes to EL literature in several ways. Drawing on COR theory, we examine the personal and contextual antecedents of ENFE. Indeed, in line with prior work, we found a positive relationship between EI and ENFE (Pervaiz, 2019). There is limited literature on POS in relation to

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EL, which mainly focused on POS effects on two common EL strategies: surface and deep acting (Kumar Mishra, 2014). The current study shows a positive relationship between POS and ENFE. Drawing on the basic tenet of COR theory, we provided evidence that employees with such high levels of personal resources (e.g., EI) and organisational resources (e.g., POS) tend to perform EL by displaying their emotions authentically to conserve their resources.

This study further explains that the relationship between EI, POS and ENFE is strengthened by underlying mechanisms. Using the resource gain spirals concept of COR theory, we were able to provide evidence that initial gain in personal and contextual resources increases OSE and OI. Moreover, to our knowledge, this is the first study that elaborates how different theoretical perspectives work simultaneously to provide a unique contribution in predicting ENFE. That is, high levels of identification and confidence account for a unique amount of variance in determining ENFE in customer service employees. This study responds to scholarly calls to examine ENFE as an emotional labour strategy (Huang, Chiaburu, Zhang, Li, & Grandey, 2015; Humphrey, Ashforth, & Diefendorff, 2015) and provides empirical evidence that employees express their naturally felt emotions in the workplace.

This paper provides particularly significant insights for human resource practices in terms of employees' recruitment, selection, and training. This study shows how the selection of employees with personal resources such as emotional intelligence can be helpful, particularly for service employees, who have to manage their emotions regularly with customers and other internal members of the organisation. Moreover, this study highlights the significance of perceived organisational support as a contextual resource because it develops employees' confidence and identification with the organisation. Employees' high confidence and identification assist individuals in expressing their felt emotions more naturally preventing them from experiencing self-alienation, and self-estrangement brought about engaging in surface or deep acting (Hochschild, 1983).

Limitations

We note some limitations in this study. First, we used self-reported measures, so there are

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issues related to common method bias (Podsakoff, MacKenzie, Lee, & Podsakoff, 2003). To mitigate these issues, we surveyed our participants at two points in time. Second, this study only used customer service employees who are generally required to display positive emotions. So, the implications of the findings of this study may be limited when extended to occupations that require employees to show negative emotions and suppress positive emotions. Future work could test the generalizability of our study's findings in the context of other occupations that require EL. Third, we only examined the underlying mechanisms facilitating the relationships between personal and contextual resources and ENFE. However, further research is warranted to investigate how boundary conditions such as customer orientation (CO) can explain when employees engage more in ENFE. CO refers to employees' disposition to fulfil customers' needs in the job context (Brown, Mowen, Donavan, & Licata, 2002). Employees with high CO levels demonstrate more motivation to provide good customer service and even go beyond their job requirements (Donavan, Brown, & Mowen, 2004). Thus, employees with high levels of CO, personal and contextual resources can report greater ENFE; this is an avenue for future research. Finally, the current study examined only ENFE, but there are other types of emotion regulation strategies that need investigation to support the use of personal and contextual resources to determine emotional labour. Future work should examine if employees with more personal and contextual resources tend to express their naturally felt emotions more than other emotion regulation strategies.

In conclusion, this study contributes to the expression of naturally felt emotions (ENFE) scholarship. In doing so, we expand the existing research on EL, which has thus far focused on surface and deep acting and has yet to thoroughly examine the factors that enable individuals to use ENFE as an EL strategy instead. Organisations need to understand how they can facilitate the relationships between personal and contextual factors and ENFE to enhance employees' performance and well-being. Consequently, this study provides a better understanding of how personal resources that individuals exhibit, and contextual resources received from organisations can influence employees' expression of naturally felt emotions.

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Figure 1. The proposed Theoretical Model

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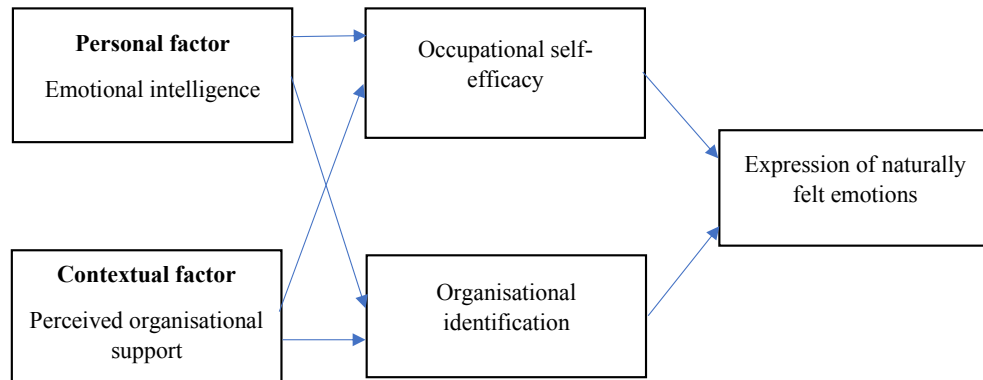
Table 1 Means, standard deviations, reliability coefficients and inter-correlations of the study variables.

Variables	M	SD	1	2	3	4	5	6	7	8	9
1. Tenure	8.81	7.98									
2. Employee gender	1.56	0.51	-0.15								
3. Employee age	42.01	12.35	.56**	-.31**							
4. Neuroticism	3.44	1.33	-.17**	.17**	-.31**	(0.73)					
5. Emotional intelligence (T1)	5.53	0.78	.15**	0.00	.27**	-.44**	(0.92)				
6. Perceived organisational support (T1)	4.91	1.30	0.06	-0.10	.19**	-.34**	.42**	(0.93)			
7. Occupational self-efficacy (T2)	5.62	0.87	.15**	-0.03	.24**	-.36**	.55**	.37**	(0.93)		
8. Organisational identification (T2)	4.88	1.33	.12*	-.15*	.20**	-.22**	.46**	.55**	.46**	(0.91)	
9. Naturally felt emotions (T2)	5.36	1.16	.20**	-0.02	.23**	-.39**	.59**	.40**	.57**	.50**	(0.91)

N = 286
Note. T1 = Time 1, T2 = Time 2 (measured two weeks after T1)
*p < .05. **p < 0.01

03. Sustainability and Social Issues

Barriers to Circular Economy: Lessons Learned and the Path Ahead

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Barriers to Circular Economy: Lessons Learned and the Path Ahead

ABSTRACT: *Circular economy is gaining popularity among scholars and practitioners as a concrete way to achieve sustainable development. While earlier studies have presented the conceptual foundations of circular economy and framework of barriers, none of them have explored barriers at the grassroots level. This literature analysis fills in the aforementioned gap by analyzing 50 papers from top journals in the domain. A total of 53 barriers at the grassroots level are identified inductively, which are coded to form two major themes – primary and ancillary that include 9 major categories – financial, organizational, innovation, technological, market, logistics, government/legislative, contextual, and integration barriers. The analysis generates useful insights for countries like Australia which are in the nascent stages of circular economy implementation.*

Keywords: circular economy, circular business, barriers, literature review, qualitative analysis

The circular economy is replacing the traditional linear economic model of 'take, make, use, dispose' and is emerging as a novel paradigm to achieve sustainable development and address environmental mitigation (Ellen MacArthur, 2015; Ghisellini, Cialani, & Ulgiati, 2016; Ellen MacArthur, 2013; Murray, Skene, & Haynes, 2017). Circular economy model of 'reduce, reuse, recycle' is becoming increasingly popular among scholars and practitioners (Geissdoerfer, Savaget, Bocken, & Hultink, 2017). Circular economy focuses on all three pillars of sustainability – people, planet, profit (Elkington, 1998) and offers multifarious benefits to the businesses such as cost savings, resource efficiency, and a good market reputation (Blomsma & Brennan, 2017; Bocken & Short, 2016). Circular economy is estimated to offer a first-mover advantage to new firms in Australia during the post-COVID-19 economic recovery (Australian Circular Economy Hub, 2020). However, the adoption and implementation of circular economy in Australia have been very meager. Particularly, 6.5 million tonnes of waste is diverted to landfills every year in Australia (https://acehub.org.au/knowledge-hub/case-studies/the-circular-experiment)

The earliest attempt to define circular economy is by Boulding (1966), in his book called 'The Economics of the coming spaceship Earth.' Thereafter, various schools of thought have been associated with the circular economy – biomimicry (Benyus, 1997), cradle-to-cradle (Braungart & McDonough, 2009), industrial ecology (Haas, Krausmann, Wiedenhofer, & Heinz, 2015), degrowth, and pulsing paradigm. (Ghisellini et al., 2016; Odum & Odum, 2006). Despite numerous definitions postulated by

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scholars (Kirchherr, Reike, & Hekkert, 2017; Rizos, Tuokko, & Behrens, 2017), there is no agreement about a concrete definition of the circular economy and hence, the concept remains ambiguous (Geissdoerfer et al., 2017; Ghisellini et al., 2016; Korhonen, Nuur, Feldmann, & Birkie, 2018; Murray et al., 2017). Howvever, this study employs the following definition of circular economy, posited by Kirchherr et al. (2017, pp. 224-225) 'A circular economy describes an economic system that is based on business models which replace the 'end-of-life' concept with reducing, alternatively reusing, recycling and recovering materials in production/distribution and consumption processes, thus operating at the micro-level (products, companies, consumers), meso level (eco-industrial parks) and macro level (city, region, nation and beyond), with the aim to accomplish sustainable development, which implies creating environmental quality, economic prosperity and social equity, to the benefit of current and future generations.'

With the reasonable ambiguity and novelty around the concept of circular economy combined with its multifaceted nature concerning – closed-loop supply chains (De Angelis, Howard, & Miemczyk, 2018; Genovese, Acquaye, Figueroa, & Koh, 2017), production-consumption loops (Camacho-Otero, Boks, & Pettersen, 2018; Figge, Young, & Barkemeyer, 2014), product-service systems (Bocken, Mugge, Bom, & Lemstra, 2018; Reim, Parida, & Örtqvist, 2015), integration with industry 4.0 (Cwiklicki & Wojnarowska, 2020; Garcia-Muiña, González-Sánchez, Ferrari, & Settembre-Blundo, 2018), academic researchers and practitioners are uncertain regarding the broader barriers of circular economy (De Jesus & Mendonça, 2018). As such, it is important to understand the paradigm and the barriers regarding its implementation to encourage widespread adoption. This exploration of barriers contributes towards the awareness and knowledge of anticipated implementation challenges of the circular economy. Hence, this paper aims to explore the following research question: What are the lessons learned from the barriers to circular economy to encourage its widespread implementation?

The study uses qualitative methodology to select and analyze various articles from the existing literature. The rest of the paper is as follows – section 1 describes the methodology including article

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selection and the approach to analysis. Section 2 contains the content analysis, explaining all the barriers in detail. Lastly, section 3 discusses the findings of the literature review, followed by the conclusion and future scope of the study.

1. METHODOLOGY

1.1 Sample Selection Criteria

To review the literature on barriers related to circular economy implementation, journal articles were derived from a database search from Scopus, which is one of the largest resources for scientific research (Falagas, Pitsouni, Malietzis, & Pappas, 2008). Focussing on the barriers to circular economy the strings used for the database search were, "circular economy*" AND "challenges*", "circular business*" AND "challenges*" and "circular economy*" AND "barriers*". The search was limited to English language journal articles published between the years 2000 to 2021, in the subject area of business, management and accounting. The search string results for 10th June 2021 are displayed in Table 2.

The articles for analysis are shortlisted from the top journals that publish in the domain of circular economy such as, 'Business, Strategy, and Environment', 'Journal of Cleaner Production', 'International Journal of Production Research', 'Ecological Economics' and 'Production, Planning, and Control.' However, due to the novelty of the paradigm, some articles from journals that are not top-notch are also selected through snowballing and cross-referencing because of the following reasons: 1) to cover the barriers encountered by various types of circular businesses; 2) to intentionally choose different geographical locations all over the world to derive a comprehensive understanding of barriers; 3) some highly cited articles are also included because of their meaningful contribution to the circular economy literature. Applying the above-mentioned criteria and reading the abstracts, keywords, and content, 50 papers are finalized for detailed literature analysis. However, bibliometric data of the search string rendering the maximum number of articles (186) is downloaded from Scopus and briefly analyzed by using R-Studio Shiny software (Chang, Cheng, Allaire, Xie, & McPherson, 2018). The annual production of articles regarding barriers to the circular economy is practically non-existing before 2015.

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Forty-six articles were published in the year 2020 which demonstrates that scholars have recently become interested in this novel paradigm. The annual growth rate of publications is 44.61%, which is excellent. Consequently, the maximum number of papers are chosen from the last five years for detailed analysis. The plot is represented in Figure 1.

To explore and understand the barriers of circular economy implementation in businesses, the selected 50 papers were recorded in a spreadsheet mentioning the following main areas – country, type of study (qualitative, quantitative, mixed), theory deployed, the framework proposed, and lastly, all the barriers.

1.2 Development Method

An inductive approach (Thomas, 2006) was deployed to analyze the text content of the selected articles for the following reasons: 1) it supported establishing a clear distinction between the barrier categories while pointing out and removal of duplicate categories; 2) it helped to organize and condense extensive text data into a presentable summary format. New barrier categories were added progressively as they were discovered while reading the papers. After 23 papers, saturation in the types of barriers was achieved (Fusch & Ness, 2015), and no new categories were discovered in the next 27 papers. However, they were added in the anticipation of finding patterns and increasing the rigor of the literature analysis (Gioia, Corley, & Hamilton, 2013; Jootun, McGhee, & Marland, 2009).

1.3 Coding Approach

As the papers were studied, the barriers were derived through manual coding (Basit, 2003) and continuous reflexivity (Jootun et al., 2009; Watt, 2007) between the papers and the existing codes, which strengthened the rigor of this literature analysis (Jootun et al., 2009). Fifty-three first-order barriers were found that directly or indirectly hinder the implementation of circularity in businesses. The first-order barriers were grouped into a total of nine second-order barrier categories named– financial, organizational, logistics, innovation, government/legal, technology, market, contextual, and

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integration. Lastly, the second-order barriers were classified into two main themes named– primary and ancillary barriers. The code descriptions and barriers are summarized in Table 1.

2. CONTENT ANALYSIS

After obtaining second-order barrier categories, two clear themes emerged, named primary and ancillary barriers. All second-order barriers obtained were grouped under these two main themes, which helped to obtain a systematic and synchronous organization. Primary barriers are the barriers that are directly connected to the business operations and have the potential to immediately cause hurdles. Ancillary barriers present obstacles in the implementation of circular economy indirectly by supporting the primary barriers. The barriers are presented in the next section in detail.

2.1 Primary Barriers

The barriers that are directly connected to the implementation of circularity in businesses were categorized under primary barriers. This theme consists of the following barriers - organizational barriers, contextual barriers, technological barriers, financial barriers, and innovation barriers.

2.1.1 Organizational Barriers

Organizational barriers are the barriers directly linked to the organization and its operational activities. Majority of the articles listed organizational barriers as difficulty in finding a skilled workforce (Garmulewicz, Holweg, Veldhuis, & Yang, 2018; S. Kumar et al., 2021), lack of resources, planning, and infrastructure (Ahmad, Rabbany, & Ali, 2019; Sharma, Mangla, Patil, & Liu, 2019; Werning & Spinler, 2020), and the absence of circular economy incentives and performance evaluation systems (Bilal, Khan, Thaheem, & Nasir, 2020; Galvão, de Nadae, Clemente, Chinen, & de Carvalho, 2018; Mendoza, Gallego-Schmid, & Azapagic, 2019). In addition to this, managerial issues in an organization such as departmental conflicts, misalignment between business goals, and circular economy goals (Caldera, Desha, & Dawes, 2019; Ritzén & Sandström, 2017; Sharma et al., 2019) also hinder the implementation of the circular economy. Lastly, poor leadership (Mendoza et al., 2019),

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difficulty in upscaling the business (Linder & Williander, 2017; Svensson-Hoglund et al., 2021), lack of support from top executives of the company, operational risks (Linder & Williander, 2017; Salmenperä, Pitkänen, Kautto, & Saikku, 2021), and employee resistance to change (Mendoza et al., 2019; Rizos et al., 2016; van Loon & Van Wassenhove, 2020) greatly pose as hurdles to effective implementation of circularity.

2.1.2 Financial Barriers

Majority of the papers mention finances as a primary barrier encountered in the implementation of circularity (Guldmann & Huulgaard, 2020; Rizos et al., 2016). This barrier presents itself in different ways according to the type of circular business. Investors are resistant to invest in circular businesses because of unrealistic projections (Kahupi, Eiríkur Hull, Okorie, & Millette, 2021; Salmenperä et al., 2021) and poor cost-benefit analyses presented by the entrepreneurs of circular startups (Hobson & Lynch, 2016; van Loon & Van Wassenhove, 2020). Bankers seem to have a lack of understanding about the business potential of circular economy (Rizos et al., 2016). In addition to this, economic sustainability rather than environmental sustainability is preferred by investors (Caldera et al., 2019; Linder & Williander, 2017). Fear of financial loss (Camacho-Otero, Boks, & Pettersen, 2019; Ritzén & Sandström, 2017), and high upfront investment (Bilal et al., 2020; Salmenperä et al., 2021) also emerged as major barriers in the product-service system based circular businesses. Interestingly, the low cost of virgin raw materials (Garmulewicz et al., 2018; Tura et al., 2019), costs due to corruption in bureaucracy and administrative procedures (Kazancoglu, Sagnak, Kumar, & Kazancoglu, 2021), technology costs (R. Kumar, Singh, & Dwivedi, 2020), and lack of subsidies for circular businesses (Pedersen, Earley, & Andersen, 2019) also appeared barriers in the analysis.

2.1.3 Contextual Barriers

Contextual barriers are the barriers that manifest differently depending upon the geographical location of the business, the process/technology used, local issues, and the type of circular business. First, the basics for the implementation of circularity – reduce, reuse, and recycle can lead to major barriers regarding the process of recovery or the complexity of the product to be refurbished (Linder &

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Williander, 2017). In addition to this, circular businesses struggle to access sufficient volumes of waste to repurpose (Garmulewicz et al., 2018; Svensson-Hoglund et al., 2021). The surrounding ecosystem and natural environment affect the small-scale nature-based circular businesses (Díaz-López, Carpio, Martín-Morales, & Zamorano, 2021; van Keulen & Kirchherr, 2021). Lack of consensus between state and central governments (De Jesus & Mendonça, 2018), ambiguity around the circular economy concept (Mendoza et al., 2019), poor understanding of industry-specific issues (Patricio, Axelsson, Blomé, & Rosado, 2018; Ritzén & Sandström, 2017), and competition between local circular firms and multinationals (Termeer & Metze, 2019) also act as barriers. Lastly, the consideration of temporal context is important for the implementation of circular economy for a holistic design and understanding (Pedersen et al., 2019; Salmenperä et al., 2021). Failure to understand such contextual issues leads to poor implementation or complete withdrawal from the implementation of the circular economy.

2.1.4 Innovation Barriers

Innovation is an important part of the circular economy as it promotes novel and disruptive business models. However, circular businesses lack the capacity to innovate because of various reasons. First of all, incumbents transitioning from linear to circular business models lack the culture and acceptance of innovation (Guldmann & Huulgaard, 2020; Zhang et al., 2019). Second, regular innovation leads to quick obsolescence of the current technology and processes used (Garmulewicz et al., 2018; Svensson-Hoglund et al., 2021), thus forcing the organization to change quickly. In addition to this, government policies regarding disruptive and incremental innovations do not include circular businesses (Rizos et al., 2016). Although innovation is encouraged with collaborative efforts, it presents another set of challenges such as governing the collaboration, defining the shared and captured values by different organizations due to the collaboration which further complicates the barriers (Brown, Von Daniels, Bocken, & Balkenende, 2021).

2.1.5 Technology Barriers

The literature displays that technology can greatly help in imbibing circularity into businesses (Antikainen, Uusitalo, & Kivikyto-Reponen, 2018; Upadhyay, Mukhuty, Kumar, & Kazancoglu, 2021).

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However, the initial upfront cost of technology is too high, considering the risks and uncertainties involved (R. Kumar et al., 2020). Technologies like industry 4.0 consisting of cloud computing, artificial intelligence, simulation, blockchain, big data, etc. can immensely work in favor of circularity (Cioffi, Travaglioni, Piscitelli, Petrillo, & Parmentola, 2020; Narayan & Tidström, 2020). However, the initial cost of integrating new technology with the business is high (Garmulewicz et al., 2018; Zhang et al., 2019), besides the frequently required updates (Masi, Kumar, Garza-Reyes, & Godsell, 2018; van Loon & Van Wassenhove, 2020). In addition to this, there is a lack of data availability and gathering services for circular operations (Díaz-López et al., 2021; Upadhyay et al., 2021), which instills uncertainty and doubts about the usage of technology. Moreover, malicious uses of technology such as hacking, dark web, money laundering, etc (Salmenperä et al., 2021; Upadhyay et al., 2021), make the senior management resistant to any major technological changes (Ahmad et al., 2019). Hence, technology is seen as both an opportunity and a threat in the implementation of the circular economy.

2.2 Ancillary Barriers

These barriers are not directly related to the implementation of circularity. However, they indirectly hinder the overall development of circular businesses and the implementation of circularity and support the primary barriers. These barriers are – government/legislative barriers, market barriers, logistics barriers, and integration barriers.

2.2.1 Government/Legislative Barriers

Government and policy barriers highlight the policies, rules, and regulations that hinder the implementation of the circular economy. This barrier highlights the local municipalities as a problem creator regarding the administrative procedures and the regulations regarding waste usage (Kazancoglu et al., 2021; Rizos et al., 2016; Salmenperä et al., 2021), which leads to illegal reuse practices (Galvão et al., 2018). Government policies cause problems in many areas like supply chain, transportation across borders, linear economy favoring rules which discourage the adoption of the circular economy (Kazancoglu et al., 2021). In addition to this, unnecessary taxes on circular businesses, legal issues (Galvão et al., 2018; S. Kumar et al., 2021; Rizos et al., 2016; Svensson-Hoglund et al., 2021), lack of

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consensus between state and central governments, and the ignorant role of the government regarding the acceptance of the circular economy also hinder its implementation (De Jesus & Mendonça, 2018; S. Kumar et al., 2021; Tura et al., 2019). Moreover, there is a high degree of uncertainty regarding the consistency of circular economy policies which makes businesses hesitant (Rizos et al., 2016).

2.2.2 Logistics Barriers

Logistics is a two-way process in a circular company through which the loop is closed – 1) the supply of raw materials to manufacture a product; 2) reverse logistics through which the company takes back the used goods from the customers for reuse, recycle or refurbish. Therefore, the adoption of circular methods is likely to increase the complexity throughout the supply chain network of a business (Rizos et al., 2016). Lack of cooperation between the suppliers acts as a major barrier to achieving a closed-loop supply chain (Vermunt, Negro, Verweij, Kuppens, & Hekkert, 2019). In addition to this, there are packaging issues (Sharma et al., 2019) and leakages in product recovery (Werning & Spinler, 2020) due to inefficient and unorganized reverse logistics (Salmenperä et al., 2021) which hinder the smooth functioning of a circular business. A major barrier towards the recovery of used products and closing the loop are unaware and ignorant customers (García-Quevedo, Jové-Llopis, & Martínez-Ros, 2020; van Keulen & Kirchherr, 2021) towards the take-back systems. Unfavorable government policies also hinder closed-loop supply chains (Kirchherr et al., 2018).

2.2.3 Market Barriers

Circular businesses are dependent on the engagement of their consumers in sustainable activities (Rizos et al., 2016). The market of circular products is not fully developed yet as the consumers have an adverse attitude towards a product made from waste (De Jesus & Mendonça, 2018; Kirchherr et al., 2018). They have cognitive biases like concern about the safety and legitimacy of the product (Kirchherr et al., 2018; Singh & Giacosa, 2019). Also, brand-conscious consumers don't find the idea of using a refurbished product attractive (Hur, 2020; Svensson-Hoglund et al., 2021). Consequently, product design, safety, and legitimacy challenges are paramount for a circular business (Colucci & Vecchi, 2021; Pedersen et al., 2019; Popescu, 2018). Hence, the type and volume of

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consumers for circular products are restricted, and there no market pressure or acceptance for secondary goods (Camacho-Otero et al., 2019; Planing, 2015). In addition to this, habits of massive consumerism are promoted by the linear economy which leads to resistance in reducing the consumption levels and inability to respond to changes (Hobson & Lynch, 2016; Muranko, Andrews, Chaer, & Newton, 2019). Hence, circular businesses need to possess excellent market understanding, lack of which can cause major hurdles (van Loon & Van Wassenhove, 2020).

2.2.4 Integration Barriers

Integration barriers emerge as barriers specifically related to the failure of an integrated and synergistic exchange of information and ideas, or other systemic problems related to the circular economy. These barriers prevail as a separate phenomenon to the circular business entity and indirectly affect circular economy implementation while supporting the primary barriers. A considerable number of barriers appeared in this category – lack of cooperative information exchange (Kahupi et al., 2021; Zhang et al., 2019) between businesses due to non-transparency and doubts about collaborative exchanges (Patricio et al., 2018; Rizos et al., 2016). In addition to this, conflicts and poor communication between stakeholders create pressure which leads to challenges in building mutual trust and honesty (Abuabara, Paucar-Caceres, & Burrowes-Cromwell, 2019; Salmenperä et al., 2021). Numerous systemic barriers were included in the integration barriers because of their indirect cumulative effect on the implementation of the circular economy. The biggest barrier in the acceptance and implementation of circular practices is the lack of awareness and information among the public and businesses (Adams, Osmani, Thorpe, & Thornback, 2017; Guo, Geng, Sterr, Zhu, & Liu, 2017; Rizos et al., 2016), government, suppliers, and society, causing no sense of urgency (Masi et al., 2018; Ormazabal, Prieto-Sandoval, Puga-Leal, & Jaca, 2018; Sharma et al., 2019). Another category of barriers included in the integration barriers is psychosocial challenges. Lack of attitude for shared and environmentally conscious consumption (Camacho-Otero et al., 2019; Muranko et al., 2019) and attachment with the products (Hobson & Lynch, 2016; Singh & Giacosa, 2019) result in a low rate of participation in circular practices. Cultural barriers are the next as they possess a synergistic effect on

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society, negatively affecting the circular economy practices. In the existing culture of linear thinking, people have a strong sense of identity, uniqueness, and status quo attached to products (Kirchherr et al., 2018; Werning & Spinler, 2020). This leads to a lack of desire to change and get involved in circular habits (Caldera et al., 2019; Planing, 2015). Consequently, circular businesses indirectly get discouraged due to all these factors.

3. DISCUSSION

The results of the literature analysis of barriers to the circular economy are summarized in Table 1. Two main themes of barriers were derived from the analysis – primary and ancillary. These themes contained a total of 9 major barriers found in the literature – financial, organizational, government/legislative, innovation, technology, logistics, market, contextual, and integration barriers. Besides the evident barriers such as financial and organizational, the most prominent point this literature analysis exhibits is the systemic nature of the circular economy. As such, it relies heavily on the synergistic exchange between various stakeholders constituting a business environment. There is a mention of a 'value network' as a subsidiary to a circular business, but it is not imbibed into the concept of circularity yet. However, integration barriers are the most significantly mentioned barriers in the literature which are related to the cooperative exchange of ideas, information, goods, technology, materials, socio-cultural acceptance, etc. Therefore, different entities of a business environment - government bodies, legal systems, suppliers, consumers, and all the possible stakeholders should function in harmony for efficient implementation of circular economy. In addition to this, the literature review also shows that there is a certain temporality involved regarding its holistic understanding and implementation. In particular, the existing policies and regulations have become outdated and usually favor the traditional linear economy. In such a scenario, to encourage the implementation of the circular economy on a macro scale, the role of government becomes of paramount importance. Lastly, significant interaction exists between the barriers according to the literature which reinforces the systemic nature of circular economy.

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4. CONCLUSION & FUTURE SCOPE

The review of the latest literature regarding the barriers to circular economy implementation assisted in achieving a clear and systematic picture of the anticipated barriers. Australia is in the nascent stages of implementing the circular economy and hence this analysis will prepare the practitioners and scholars for the upcoming challenges. The literature review is focused on grassroots level barriers from selected studies in previous literature which is a novel contribution. However, this literature analysis is restricted to a limited number of articles which compromises the generalizability of the study.

The circular economy is a novel paradigm and has become popular among scholars only recently. Consequently, the majority of the articles regarding the barriers – 1) did not use any theory; 2) used qualitative studies; 3) proposed frameworks to support future studies. This demonstrates the progression of the paradigm and a solid foundation laid for future practitioners and researchers. However, survey-based, large sample quantitative studies are suggested for further research to obtain more concrete and quantifiable results. Future studies can determine which factors/variables mediate or moderate the barriers to circular economy implementation, hence contributing to the precise solutions for the barriers while establishing the paradigm with clarity. Furthermore, longitudinal case studies are suggested to consider the temporal context for the successful implementation of circular economy.

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Table 1: Summary of Barriers and Code Descriptions

MAIN THEMES (THIRD-DEGREE CODES)	BARRIER CATEGORIES (SECOND DEGREE CODES)	GROUND-LEVEL BARRIERS (FIRST DEGREE CODES)		REFERENCES
		Code Names	**Total Codes**	
Primary	Organizational	Scarcity of skilled workforce, lack of resources, planning & infrastructure, absence of circular incentives and performance evaluation systems, departmental conflicts, misalignment between business goals and circular economy goals, poor leadership & lack of support from top executives, difficulty in upscaling the business, employee resistance	9	(Bilal et al., 2020; Galvão et al., 2018; Garmulewicz et al., 2018; Kirchherr et al., 2018; Linder & Williander, 2017; Mendoza et al., 2019; Ritzén & Sandström, 2017; Salmenperä et al., 2021; Sharma et al., 2019; Svensson-Hoglund et al., 2021; van Loon & Van Wassenhove, 2020; Werning & Spinler, 2020)
	Financial	Low funding opportunities, unrealistic projections and cost-benefit analysis, preference economic sustainability rather than environmental by investors, fear of financial loss, high upfront investment, low cost of virgin raw materials, costs due to corruption in administrative procedures	7	(Bilal et al., 2020; Camacho-Otero et al., 2019; De Jesus & Mendonça, 2018; Hobson & Lynch, 2016; Kahupi et al., 2021; Kirchherr et al., 2018; Pedersen et al., 2019; Salmenperä et al., 2021; Shi, Peng, Liu, & Zhong, 2008; Tura et al., 2019; Vermunt et al., 2019)
	Contextual	Circularity process (reduce, reuse, recycle) issues, lack of sufficient volumes of waste to repurpose, surrounding ecosystem and nature-related issues, ambiguity around the concept, no consideration for temporality	5	(Díaz-López et al., 2021; Garmulewicz et al., 2018; Linder & Williander, 2017; Patricio et al., 2018; Pedersen et al., 2019; Salmenperä et al., 2021; Termeer & Metze, 2019; Vermunt et al., 2019)

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	Innovation	Lack of innovation capacity, lack of innovation culture, quick obsolescence, challenges in collaborative efforts, low acceptance for innovation in incumbents	5	(Brown et al., 2021; Garmulewicz et al., 2018; Guldmann & Huulgaard, 2020; Ritzén & Sandström, 2017; Svensson & Funck, 2019; Zhang et al., 2019)
Ancillary	Technology	High initial cost, quick updates, lack of data availability, malicious use of technology, resistance of senior management, uncertainties about technology use	6	(Ahmad et al., 2019; Antikainen & Valkokari, 2016; Garmulewicz et al., 2018; Masi et al., 2018; Upadhyay et al., 2021)
	Government/Legislative	Municipalities create hurdles, illegal reuse practices, issues in transportation across borders, unnecessary taxes on circular businesses, ignorant role of government	5	(De Jesus & Mendonça, 2018; Galvão et al., 2018; Govindan & Hasanagic, 2018; Kazancoglu et al., 2021; S. Kumar et al., 2021; Shi et al., 2008; Tura et al., 2019)
	Logistics	Lack of cooperation between suppliers, packaging issues, unaware and ignorant customers, unfavorable government policies, inefficient logistics	5	(García-Quevedo et al., 2020; Govindan & Hasanagic, 2018; Kirchherr et al., 2018; Sharma et al., 2019; van Keulen & Kirchherr, 2021; Vermunt et al., 2019)

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	Market	Adverse attitude of consumers towards circular products, concerns about safety and legitimacy, production design issues, type of consumers restricted, resistance in adoption of circular consumption	5	(Colucci & Vecchi, 2021; Hobson & Lynch, 2016; Hur, 2020; Kirchherr et al., 2018; Muranko et al., 2019; Popescu, 2018; Singh & Giacosa, 2019; Svensson & Funck, 2019)
	Integration	Lack of cooperative information exchange, non-transparency and doubts about collaborations, conflicts between stakeholders, lack of systemic awareness and urgency, psychosocial challenges, cultural challenges	6	(Adams et al., 2017; Caldera et al., 2019; Guo et al., 2017; Kirchherr et al., 2018; Ormazabal et al., 2018; Planing, 2015; Singh & Giacosa, 2019; Werning & Spinler, 2020)
TOTAL	**2**	**9**	**53**	

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Table 2: Search string results in Scopus on 10 June 2021

Search String	Number of Articles in Scopus
"circular economy*" AND "challenges*"	186
"circular business*" AND "challenges*"	18
"circular economy*" AND "barriers*"	104

Figure 1:Annual Production of articles related to the barriers of the circular economy between 2010-2020
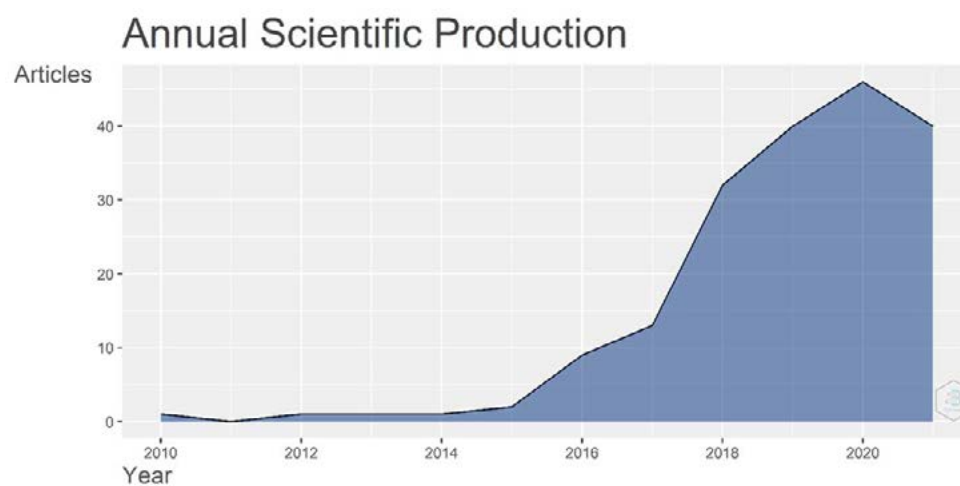
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1. Human Resource Management

HR Managers as leaders through paradoxical tensions and toxin handlers: A study of two aged-care organisations in the early days of the COVID-19 pandemic

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HR Managers as leaders through paradoxical tensions and toxin handlers: A study of two aged-care organisations in the early days of the COVID-19 pandemic

ABSTRACT

The early months of the 2020 COVID pandemic placed substantial public scrutiny on the operation of the aged care sector, as community and governmental expectations for the provision of safe care for the elderly clashed with the organisational capability of often under-resourced aged care organisations. This paper provides a paradox- and toxin-handling theory account of the consequences of these for the experience of HR practitioners, based on the experience of two aged care organisations in the first half of 2020. We argue that these organisations were confronted with challenges that required quick, large-scale, and difficult decision making, with implications for the workforce. HR had to play a role in managing the toxicity released by these changes within the organisation.

Keywords: HR managers, aged-care, COVID-19 pandemic, paradox theory, toxin handling

The COVID-19 pandemic (World Health Organization, 2020b) has borne a severe impact on older people in long-term care with up to 80% of pandemic related deaths in high-income countries occurring in care settings (Gopinath, 2020; World Health Organization, 2020a). COVID-19 has also had an immense impact on the social care workforce with some jurisdictions (i.e., UK, Canada & Australia) reporting high rates of COVID-19 infection and death (Akingbola, 2020; Cousins, 2020; World Health Organization, 2020a). Criticism of how both the government and aged care sector managed the early days of the pandemic has been unrelenting and undoubtedly warranted, highlighting significant shortcomings in areas such as infection control and clinical management (Cousins, 2020; Royal Commission into Aged Care Quality and Safety, 2020).

Behind these statistics is an essential workforce that while others were keeping the population and themselves safe by staying home, were asked to keep working as usual and to take on substantial personal risks in doing so (Harney & Collings, 2021, p. 3). But, as Reid, Ronda-Perez, and Schenker (2021) point out, being categorised as an essential worker did not equate with receiving adequate PPE or access to paid leave resulting in many workers getting infected with COVID-19. In Australia, at the 2nd July 2021, 2,247 aged care workers had contracted COVID-19 (Australian Government, 2021). Employees in aged care are vulnerable as a result of the work itself: close, prolonged intimate contact

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with people in an organisation visited by many people throughout the day. In Australia, this workforce is female, poorly paid, poorly trained, work across multiple locations, and a disproportionately high number, about a third, are foreign-born (Reid et al., 2021). Recent outbreaks of COVID-19 in private aged care settings have reignited the debate about the preparedness and composition of the aged-care sector workforce (Lucas, 2021).

Aged care will remain at the frontline of the pandemic as by its very nature, it is a labour-intensive, necessarily intimate environment which cares for the elderly and hence vulnerable in our community. Consequently, there is urgency to better understand and learn from how aged-care providers responded to the pandemic from a multitude of perspectives including government policy, clinical care, and workforce management. As HRM scholars involved in teaching, research, and practice, it is important to reflect on HR's role in the aged care sector's response to the pandemic. In doing so there are two stories to be told. First, of the HR function's response to the complexities of the pandemic and, second, a more personal story of how HR practitioners coped with the emotional consequence as they were catapulted to the centre of the pandemic response in their organisations. Accordingly, this paper examines the issues and consequences for HR in playing its role during this period. The very nature of this enquiry demands an inductive approach, and thus, our study is qualitative.

We address this question through the analytical lens of paradox theory (Lewis, 2000; Lewis & Smith, 2014) and toxin-handling theory, with HR practitioners posited as toxin handlers (Frost, 2003). Paradox theory seeks to understand how organisations balance ambiguous tensions under conditions of plurality, scarcity, and continuous change (Lewis, 2000), all of which were present in the early days of the COVID 19 pandemic. Coincidently, the nature of work undertaken by HR practitioners necessitates that they handle the emotional toxicity created by all the risks, compromises and threats created by the struggle of the organisation to reconcile its competing challenges (Frost, 2003; Kulik, Cregan, Metz, & Brown, 2009; Metz, Brown, Cregan, & Kulik, 2014).

This paper first presents a review of the literature on the aged care sector in a pandemic context, paradox theory and HR practitioners as toxin handlers. The second section explains the

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methodology used to meet the research objectives. The third section presents the results, and the fourth section discusses the findings of the study and its implications. The last section outlines the limitations and suggests future research directions.

LITERATURE REVIEW

Aged care sector in the context of the COVID-19 pandemic

It has been widely argued that the failings of the aged care system during the pandemic are the predictable consequences of marketising aged care provision (Fine & Davidson, 2018) and the viewpoint that residential aged care is not a health care facility but rather a homelike social care home (Usher, Hickman, & Jackson, 2020). Aged care in many countries is financially subsidised by the government but predominantly delivered by private for-profit (FP) and not-for-profit (NFP) organisations (Fine & Davidson, 2018). There is some evidence (predominantly in the US) that small NFP providers offer a higher quality of care compared to FP providers (Amirkhanyan, Kim, & Lambright, 2008; Sojourner, Frandsen, Town, Grabowski, & Chen, 2015). Although this has not been examined in Australia there is emerging evidence that funding of NFP care is fraught as evidenced by recent investigations that a NFP provider was funnelling money from their aged-care business to the parent entity (McGhee, 2021). There seems to be consensus that marketisation of aged care provision leads to inconsistent levels of quality of care, especially clinical care (Xerri, Brunetto, & Farr-Wharton, 2019). Clinical care, particularly infection control and palliative care has been critical in aged care settings since the onset of the COVID-19 pandemic (Cousins, 2020; Davidson & Szanton, 2020; Dorritie et al., 2020).

Core to the issues raised regarding the quality of aged care service provision is the management of human resources within the workplace which is not surprising given that aged care is a personal service provided by humans. HR issues identified including shortcomings in areas such as staffing ratios, training in infection control, work, health and safety, and ethics and human rights (Cousins, 2020; Werner, Hoffman, & Coe, 2020). In 2019 the Australian Aged Care Quality and Safety Commission introduced contemporary aged care standards which pay particular attention to HRM management practices including feedback mechanisms (for consumers and employees),

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workforce planning, qualifications and training of staff, culture and diversity, organisation culture, safety, performance management, and workforce governance in 2019 (Aged Care and Quality Safety Commission, 2019). Of these issues, several became especially prominent during the early months of the pandemic: ensuring that employees worked only at one care site and not being involved in additional community care, receiving training in infection management in older people, preventing employees from working while unwell by providing access to paid sick leave, and the ratio of casual and ongoing employees (Crotty, Watson, & Lim, 2020; Usher et al., 2020). Despite the sector focussing on HRM prior to the pandemic, aged care providers were largely unprepared, and the pandemic exacerbated pre-existing HR issues (Davidson & Szanton, 2020; Gilbert, 2020).

Paradox Theory

Paradox theory provides a useful lens through which to understand the human resource challenges posed by the pandemic in aged care. In contrast to contingency theory, which proposes that a particular solution exists to an organisation's unique challenges (Lewis & Smith, 2014), paradox theory holds that organisations are obliged to seek to manage multiple competing and over-lapping issues simultaneously, and simple solutions are unlikely to be found (Smith & Lewis, 2011). Success appears to arise from the way in which these tensions are managed (or not)(Keegan, Brandl, & Aust, 2019; Link & Müller, 2015). Paradox theory has been successfully applied to gain insight into the challenges of HRM (Keegan et al., 2019) including as a consequence of the recent pandemic (Collings, Nyberg, Wright, & McMackin, 2021).

Paradox theory holds that ambiguities and challenges are inherent in organisations, and by implication, the work of HR practitioners. Thus, viewing the recent challenges faced in the aged-care sector, where there were many complex interdependent tensions and continuous change, there is an opportunity to gain insights which can contribute to understand how the sector handled the crisis to inform future policy and practice in the sector.

Toxin handling

The concept of employees as toxin handlers was introduced by Frost (2003) to describe the activities undertaken by employees to assist other employees cope with difficult emotions. The nature

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of work undertaken by HR practitioners necessitates that they handle negative employee emotions (Kulik et al., 2009; Metz et al., 2014). Feelings such as anger, stress, disappointment, and anxiety can be consequential to HR practices including terminations and redundancies, bullying and harassment, discrimination, mergers and acquisitions, and interpersonal conflicts. However, it may not be the incidents per se which create the tension, it is likely the way the organisation handles the issue that can lead to negative consequences (Daniel, 2020) thus making the role of organisation toxin handlers important. HR operate as an internal service provider to a wide range of organisational stakeholders including employees, line managers and senior managers (Daniel, 2017). HR practitioners are often seen by internal stakeholders as 'carers' who can be sought out for support and interventions. While they are expected to "take" emotional expression from others, they are supposed to display little emotion themselves (Rivers, 2019, p. 1565). They must also find a balance between supporting employees and senior managers with often competing motivations, not always an easy task. Thus, the inherent requirements of HR roles are paradoxical which can create significant stress for the incumbents (Daniel, 2017, 2020).

The literature on toxin handling is predominantly focussed on toxin handling behaviours (for an exception see Kulik et al. (2009). There are six core behaviours undertaken by organisation toxin handlers which are centred on relieving organisational pain (Frost, 2003; Frost & Robinson, 1999). The first is listening empathically and non-judgementally, thus creating a safe place for employees to express emotion. They also offer potential solutions to employees. Importantly, they anticipate situations that may lead to organisational pain and take proactive, preventative steps to mitigate the risk. Referred to as being like priests (Frost & Robinson, 1999), toxic handlers keep confidences and have the trust of employees. Toxin handlers play an important role in organisational communication by reframing difficult messages. Finally, they coach and advise managers (Daniel, 2020).

Toxin handling is important to organisations as it can reduce turnover, assist employees to focus on their work, maintain productivity and morale, and prevent litigation (Daniel, 2020), and in the case of the pandemic, manage the emerging psychological consequences as the organisation deals with the crisis. However, the labour of toxin handling comes at a cost for HR practitioners. An

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obvious cost arises where the HR practitioner is powerless to reduce or eliminate an employee's pain as the cause may be external to the organisation or the HR practitioner is the architect of the process causing the pain, such as a change initiative (Kulik et al., 2009). This dilemma can cause emotional exhaustion and psychological and physical burnout (Frost, 2003; Kulik et al., 2009). Toxin handlers can experience a range of issues including feelings of sadness and anger, high stress, and lack of sleep, with potential consequence for their home life and personal relationships (Daniel, 2020).

The pandemic has caused significant change and distress in workplaces. HR practitioners have played a central role in helping all levels of employees adapt and cope to the many resulting changes (Chawla, MacGowan, Gabriel, & Podsakoff, 2020). The overall level of tension and stress in the workforce has increased and HR has been expected to deal with this. Lockdowns and forced working from home have been a major cause of employee burnout, psychological distress, and depression, isolation, feelings of exclusion, and financial loss (Chawla et al., 2020; Giurge & Bohns, 2020). While for those remaining at the work there has been increased employee perceptions of safety threat and fear of contagion (Benhamou & Piedra, 2020).

METHODOLOGY

This paper draws on a wider interview study examining the role and experience of HR Managers during the early days of the COVID-19 pandemic (*n*=32). Data collection was carried in two phases (May-July, September-December) from HR Managers in two not-for-profit aged care providers (HR#1, HR#2). Both HR Managers were 50+ years of age with significant HR and management experience. HR#1 is the HR leader in a medium sized NFP denominational residential aged care provider in metropolitan South Australia. Their organisation comprises a corporate site, a small care site with 32 beds and 60 staff and three others with more beds and 100-120 staff each. Their workforce strategy includes keeping casual staff to a minimum. HR#2 is the HR leader for a large NFP aged-care provider which offers residential care, retirement living and home help. They employ approximately 1,600 people, over thirteen sites in metropolitan and regional South Australia.

Participants were provided with an information sheet describing the purpose of the study, their rights to withdrawal from the study and how to access support should the interview raise any issues.

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All provided informed consent to participate. All interviews lasted between 40 and 90 minutes. Each interview was recorded (audio only) and transcribed verbatim. The first interview dealt predominantly with the contextual factors, initial response to the pandemic and current strategies in place. The follow-up interview reflected on the previous interview and how the organisation was adjusting to the 'new normal'.

Template analysis (TA) was adopted to analyse the interview data. TA is a form of thematic analysis which is typically, although not exclusively, used to analyse individual interviews (Brooks, McCluskey, Turley, & King, 2015; King, 2004, 2012). A benefit of TA is that it provides a coding structure with flexibility to assist the researcher to focus on and expand upon themes that are aligned to the research question (Brooks et al., 2015). In a TA context themes are understood to be the 'recurrent and distinctive features of participants' accounts, characterising particular perceptions and/ or experience which the researcher sees as relevant to the research question" (King & Horrocks, 2010, p. 150).

A template was constructed with a priori themes based on the literature and research question anticipated to be relevant to the analysis. Three themes were identified however, after further analysis one theme was removed as it was not useful to interpreting the data. Codes were initially obtained through extensive reading of the first Time 1 interview. This allowed for initial identification of codes connected to a priori themes. The remaining transcripts (Time 1 and Time 2) were then read repeatedly, and coding of the transcripts was carried out by hand. The final template provided the framework for the analysis of the data.

FINDINGS

Table 1 presents the final template. The themes relating to the role and experience of HR Managers in aged-care are 'leading through paradoxical times' and 'toxin handling'.

INSERT TABLE 1 ABOUT HERE

Leading through paradoxical times

Throughout the narratives paradoxical tensions were evident such as risk vs. innovation, planning vs. action and productivity vs. well-being. All of these were accompanied by great public and

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government scrutiny, particularly from the families of residents and the media. Organisations used to careful considered clinical decision-making were required to quickly respond to changing government policies: "Well we had days where it [government flu vaccination, single site employment, visitor access, etc] changed every hour" (HRM#2). The narratives suggest that HR practitioners stepped-up to lead initiatives which sought to resolve for many contingencies and demands, because the issues of managing the workforce were central to the capacity of the organisation to continue to function: "I think the workforce was the biggest challenge for us. Not our workforce but the thought of preparing for a potential outbreak and where we would source our workforce." (HRM#2). A common theme was balancing and reconciling the various industrial relations aspects of workforce planning and rostering with rapidly changing government directives, financial imperatives, precedents in practice and client care. It appears that HR was able to manage this paradoxical tension and fast-track innovation in this area which might otherwise have not occurred "we only had two weeks to scramble" (HRM#2). But getting managers to the table was easy for some and harder for others.

> We have got to sit down, clean the slate, and work out what is best for our people, what is best for our residents and just disregard everything else and go that way. And that is where we started to really focus on our cohorting, it became a matter of we will do this no matter what and then we will figure it all out as we go. So, safety became the imperative. However, on the technical side, it was the industrial relations skills that became important. (HRM#1)

> [W]e started to have really broad and good conversations about roster practices about where would we get a surge workforce, you know, what are the sorts of things that you might need to do. (HRM#2).

Once the discussion commenced ground-breaking innovations were occurring to the way rostering was done. This was particularly the case in HRM#1, which was a smaller organisation that attributed its agility to its size.

> We are in the middle of a massive review of our roster structure, and we have been in negotiations with our people and the Unions over this. We want to offer enough hours to people so that they are happy to accept permanent full-time or even permanent part-time and not really have the time to be working anywhere else. The new rostering system is costing us a lot more money. We are also physically changing our work environments and creating smaller worker cohorts ('cohorting') so that if there's [viral] contamination in one cohort the most it can spread to is 18 people, including residents and staff. When we benchmarked 'cohorting' with other nursing homes around our state, none of them were ready to make that move because of the difficulties of the industrial relations. Also, a lot of them are bigger organisations, they have got more resourcing than us, but they also have more staff. Because we are small, we were able to be more agile and able to have a productive relationship with the unions. We asked the union guy "How are the others dealing with you, how's it been, what are they doing? You probably know more than us?" And he said "No, you're the only organisation that's keeping us fully informed and including us in this way, in consultations".

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Most of the staff have been able to accommodate cohorting. However, people will take up work, nurses, and carers, in aged care because it provides flexibility. So, we have very muddled rosters, and this is costing us hundreds of thousands of dollars more, which as a small not for profit, we cannot afford. Something else will have to give I am afraid. We looked at first as to whether we would seek an urgent hearing to amend the employment agreement and then decided not to go that way. So, with some of those longer shifts, we are just paying a lot of overtime now. It is going to be a huge cost to us. However, an industry colleague who had COVID-19 on site explained that when the Government sends in those flying squads, there is no more collaboration, it is command and control, and it is like a military exercise. But the first thing they do is cohort. So, at least we are on the right track. We have decided it would not be a temporary arrangement and that it would be permanent. (HRM#1)

Toxin handlers

The HRM leaders gave poignant descriptions of excessive levels of toxin handling spread over a wide range of internal and external stakeholders. The inherent expectations of HR practitioners as toxin handlers was evident. The interpersonal and personal characteristics of HR practitioners placed them in an environment where they were continuously dealing with the anger, frustration, and stress of the organisation's stakeholders. HRM#1 discusses the HR team's experience:

I have recruited the HRM team. They are highly empathetic, which has its downside of course but that has helped because now we have a lot of people working under pressure, especially our residential managers, with the risks that they are managing. The angry families, the behaviours from dementia, the workloads, media, you name it, we were on TV news a couple of nights ago. So, it was having the empathy for their situation and understanding how we could best support them through that and helping them understand the behaviours of their staff and perhaps the extra tolerance levels that were required. Where something before might have been a behavioural discussion that was not necessarily the right thing to do now. So, helping them, supporting them, to cut them some slack really and persuasion. These are all soft skills; it has all been soft skill based. No one's written in any HRM manual how to handle this sort of situation. (HRM#1)

At the same time, the workload for many increased exponentially. While many businesses were implementing downsizing initiatives, the aged care sector was rapidly expanding its workforce. This placed a huge additional workload on HR. In part the single site work directive exacerbated the workload.

We had staff that worked for other age care providers, which meant they had to choose which provider they wanted to work for…we had about 25 staff who decided to go work for another provider and give up their hours with us… we put them on leave without pay…luckily a lot decided to stay" (HRM#2).

Both organisations discussed the need to plan for critical staff shortages that might come from infection among their staff.

One of my HRM team members went from working part-time to working full-time because she focuses on recruitment, and we needed to respond to a direction was from the Commission that we had contingency for an extra 30 percent casual staff in case we lost our staff. That meant a massive recruitment campaign at short notice. So, she started working full-time and in fact 60 hours a week, while she had little children, a toddler and a young school aged person and her husband home half the time (HRM#1)

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> I think the workforce was the biggest challenge for us. Not our workforce but the thought of preparing for a potential outbreak and where we would source our workforce. So, in the context of lots of people losing their work, we had quite a peak in job applications. Not always well suited for us, but there was definitely a peak in that, a surge. But if we employed someone to sit on the bench, they weren't going to sit there forever and so it was that whole dilemma about we'll need a workforce to come in but how do we maintain keeping them on the bench after we've invested in, yeah- so we were doing some work ready stuff, some job ready and we introduced electronic on boarding, we compressed our recruitment [HRM#2].

Coaching and supporting managers was a critical role which was initially overlooked but came into focus after the initial crisis. HRM assumed that general staff would be more vulnerable to the impacts of COVID related changes, however this was not the case. The narratives suggests that leaders were overwhelmed, lacked capability to handle the scale of the change and were struggling personally to adapt. HRM#2 describes a well-being check-in that became a feature of executive meetings, "the question that we posed to the exec before we started [the meeting]…'how are you feeling about what's happened and the work ahead?" HRM#1 reflects on what they could have done better:

> I think, I would have focused more on supporting our managers, than just our staff, our broader staff, because our concern has been about looking after our frontline staff. That is where we thought (a) we were most likely to get the infection in; (b) it was where the greatest fear was; and (c) that is where we were going to lose staff if we got COVID-19. This is in the early stages. But it was supporting our managers, I think was more important, so rather than just assuming that they were okay doing what they were doing. And the greatest cracks I see now, so we did talk about wellbeing, welfare, I have kept a close eye on our managers. I am not talking about at leadership level, although there are cracks there, but it is also our residential managers and the care managers. Their communications with their staff have not always been optimal and that is simply because they are under pressure and so they are the ones who have been not listening to their staff in solving some of the problems. They are now, but we could have done that earlier. We really thought general staff were the most vulnerable group, but they had more resilience with their talking to each other and supporting each other and that commonality than our managers, who had this huge – huge responsibility, still do. (HRM#1)

Emotional exhaustion and burnout are commonly reported outcomes from toxin handling job demands (Kulik et al., 2009). This is exacerbated by the fact that in the early days working hours were long for HR practitioners as described by HRM#1 "Since this all started, none of us in our leadership team have had a day off".

In both organisations there was evidence of the toll toxin handling demands had on the HR practitioners. At the lower end of the scale HR practitioners needed to deal with heightened emotions in the workplace. For example, HRM#2 discusses how the executive meetings became more emotional:

> …even at the exec meetings, like we were having a weekly crisis team meeting because you know everything was changing all of that and you know and in the business we were definitely struggling financially so you know there were lots of things, but I cannot tell you how many times our executive team had a very emotional response in the meeting because of the way that everybody just pulled together.

The pressure the HR team were under also crystallised their purpose as described by HRM#2:

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> I'd sum it up by saying that as a business, I don't think we've ever forgotten who we serve and I think from a people and culture point of view, it truly brought into focus what a unique workforce that we have, so I feel like it's been an emotional couple of months, some of, you know, some of just about the stress impact of it, but it's also a complete and utter focus about how awesome our staff are and really how much we had probably underestimated and undervalued their contribution to our business…

As 'caring' professionals HR practitioners were expected to have empathy for the changing working and personal circumstances of their employees. These experiences had an obvious impact on the practitioners and were front of mind when asked about their role in managing workforce impacts. Employees had to deal with personal life changes and a workplace that was no longer safe. At the same time employees were grappling with the increased frequency and complexity of new information leading to cognitive overload. HRM#2 summarises some of the people impacts in their workplace. These comments should be read considering the demographic make-up of the workforce and their inherent vulnerability as discuss earlier.

> Difficult change. I think in, from the workforce point of view, I think that for many of them on a personal level they had a lot of their family and friends that were feeling the economic impact of COVID right? So, their family and friends might be out of work, lost work, but I was still employed but I am, you know when I talked to them and when I hear comments it's about all of a sudden some of them became the breadwinners so that shifted for them, there was also a great reliance on work and the structure of work rather than maybe being at home with family or kids…coming to work with some level of worry and the bombardment out there from government everywhere so when we're coming into an environment that might have struggled with the thought of coming in and about the fear and worry about their family and about that, but you know I think I just saw an increased working as a team, coming together, looking out for each other. I think that was challenging (HRM#2).

While themes of cognitive overload are evident there was also the paradox of needing to keep employees informed of government changes and reassuring employees that were afraid.

> We had to significantly shift every time those [government] changes came out, which meant keeping our employees informed, at a time when they were already frightened (HR#1)

At the extreme level of toxin handling HRM#1 discusses how they felt they were abandoning their workers when end-of-life care policy changed.

> As the HRM leader, at first I felt like I had abandoned our people during their most difficult period. For example, I saw, the communication from the health department directing our doctors to make sure there was a prescription for end-of-life drugs for every resident and that the police would be on site to ensure that they were not evacuated to hospitals because they were not going to be admitted. So, we were going to be converted effectively to hospices and we do not have acutely trained staff, so I had all this, it was shocking to read that.
>
> I was personally quite upset, sorry I still am talking about it, but knowing that I was going to have to lead people to stay on site and work, when we did not have enough PPE, I found quite distressing. I felt like I was a sell-out, sorry (crying), I did not realise how much it had affected me. I have not been upset since that day because I knew I had to gather myself, but I felt that it was terrible thinking that I had to do that and there was no way in the world I was going to be allowed on site. Encouraging people to have to work

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in those conditions and looking at it legislatively and the industrial relations around it, it is quite a difficult thing to do, but you must. (HRM#1)

DISCUSSION AND CONCLUSION

The early months of the 2020 COVID pandemic presented aged care employers with a great challenge: meeting community and government expectations for service delivery, while constrained by limited financial resources, limited knowledge of the virus, shortages of essential equipment such as personal protective gear and ventilators, legal obligations to residents, employees and community members, when confronted by a virus of unknown characteristics that was especially deadly to the elderly, the clients of the organisations.

Through the lens of paradox theory and toxin handling, this paper provides a way of understanding HR's role and reactions to the responsibility of the time. We proposed that the challenge for aged care organisations was that of reconciling the various tensions created by the numerous alternative pressures confronted by the organisation. These pressures could not be immediately resolved by the implementation of classic approaches within the strategic management literature – the implementation of a contingency based solution that matches the requirements of the time. Such an approach would be unsuccessful for two reasons. First, the challenges of aged care organisation were externally enforced, dynamic, and evolving quickly over time. Statutory regulation, for example, of many aspects of aged care operation – infection control, work scheduling, public access – were changing sometimes several times a week, with follow-on implications for workplace training and supervision. Second, the typical NFP aged care organisation rarely has the resources or time to implement all the required solutions. Consequently, the required changes within the context of a pandemic leads to toxicity, which becomes another problem for HR to solve. An appreciation and deeper understanding of the role of HR practitioners as toxin handlers can assist the profession and organisations to implement strategies to diminish the negative consequences of toxin handling.

Further research with different providers and in different locations to understand the role and experiences of HR more deeply during the pandemic is suggested.

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Table 1: Template analysis

A *priori* themes	Description *(includes)*	Codes
Leading through paradoxical times (Lewis, 2000)	– Conflicting objectives	– Conflicting messages – Unclear policy – Industrial relations
	– Leadership	– Crisis management – Business as usual – Risk management – Innovation
	– Industrial relations	– Workforce planning – Work from home – Work life balance
Toxin handling (Frost, 2003)	– Coaching leaders	– Empathy – Positive messaging
	– Supporting staff	– Overwhelmed – Isolation from colleagues & family – Work-life conflict – Fear of infection – Safety of clients and staff – Anger from stakeholders
	– Personal cost	– Exhaustion – Increased workload

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7. Teaching and Learning

Preparing students to work in a pandemic and Industry 4.0: A model for teaching interpersonal skills in undergraduate business degrees

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7. Teaching and Learning

Preparing students for work in a post-pandemic and Industry 4.0 world: A model for teaching interpersonal skills in an undergraduate business degree

ABSTRACT:

The move to remote work and study because of the COVID-19 pandemic has re-ignited the debate about the importance of interpersonal skills (IPS) in the workplace. IPS have been a concern of employers and business academics for some time. Still, there remains gaps in graduate IPS capability suggesting business schools overlook that management is a dynamic practice requiring both strong technical and interpersonal capability. IPS influence initial employability, leadership, career advancement, management practice, career longevity, and future earnings. Also, workers in Industry 4.0 will require stronger social skills. This article introduces a teaching model to develop interpersonal skills for the future of work. The activities and assessments adopted and considerations and implications for delivery of the course are discussed.

Keywords: interpersonal skills, soft-skills, employability, virtual work, curriculum, future of work

INTRODUCTION

Society has an expectation that business school graduates will have formed a complement of both technical and soft skills. This combination of skills is considered critical for student's work readiness and employability (Bartel, 2018; Oxford University Press Australia, 2020; Tempone et al., 2012; Winstead, Adams, & Sillah, 2009), however, there is ongoing criticism from industry and academics that universities are failing to deliver on soft skills development (Andreas, 2018; Pfeffer & Fong, 2002; Tempone et al., 2012; Wilkie, 2019). Graduate employers have offered wide spread criticism that graduates can apply their technical knowledge but lack the interpersonal skills (IPS) needed to be fully effective on-the-job (MacDermott & Ortiz, 2017) in a global, diverse (Winstead et al., 2009), and increasingly virtual business environment . Observed reasons for the absence of adequate interpersonal skills among graduates included overlooking IPS as important (DeKay, 2012) the consequence "oversimplification of "soft skills" training (Laud & Johnson, 2012, p. 64), an absence of any training, or delegation of this form of training to University career centres (Winstead et al., 2009). Irrespective, it appears that business schools overlook that management is a dynamic practice which requires both strong technical knowledge and interpersonal capability.

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The absence of IPS has consequences for graduates beyond initial employability. IPS (or lack thereof) has long-term impact on the individual's leadership, career advancement, management practice (Laud & Johnson, 2012), career longevity (Torkington, 2016), and future earnings (DeakinCo, 2019). As current jobs are automated or disappear altogether, it is predicted that future work will require mastery of two rather different skills; mathematics and social skills (Torkington, 2016) ,thus interpersonal skills are critical in the future of work in Industry 4.0 (Fitsilis, Tsoutsa, & Gerogiannis, 2018).

The debate regarding the importance of interpersonal skill development in graduates is not new, however the critical need for social skills came to the fore when the COVID pandemic hit. Knowledge workers, such as those graduating from today's business schools, were very quickly moved to working from home (Larkin, Connell, & Burgess, 2021). Organisations grappled with virtual working and managing geographically dispersed teams (blended virtual and office work). Universities had a similar experience as teaching went online overnight and Faculty and students had to adjust to teaching and learning on-line. Students found themselves doing e-internships (Jeske & Linehan, 2020) and applying for work using virtual recruitment, selection, induction, and orientation platforms, and working from home immediately upon commencing a new role (Carnevale & Hatak, 2020).

IPS are attributed to be important for effective working from home. For example, successful working from home (remote working) during the pandemic was facilitated by more interaction with and between employees rather than less (Larson, Vroman, & Makarius, 2020). Agrawal, De Smet, Lacroix, and Reich (2020) highlight several interpersonal complexities of remote working including managing customer relationships and maintaining employee cohesion. Due to the involuntary and sudden nature of the many lock-downs there was a need for more wellbeing conversations necessitating high levels of IPS, including emotional intelligence (Larson et al., 2020). Hence Agrawal et al. (2020, p. 5) argue that "advanced interpersonal skills are needed to ensure that professional ties are kept strong despite distance. These skills will also be crucial for leaders trying to drive change and support their employees remotely."

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Whether remote working will be the 'new normal' is still for debate, but early indicators suggest some form of remote working for at least part of the time is highly likely (Willcocks, 2020). This raises further questions for business schools about how to prepare students for employment in an environment where they are likely to work remotely where strong interpersonal skills will be critical.

In the remainder of this article, I review the literature on IPS development in higher education and present a teaching model developed by the author to develop interpersonal skills for professionals (IPS) in the real and virtual (remote working) world. Additionally, I detail the activities and assessments adopted and considerations and implications for delivery of the course.

REVIEW OF THE LITERATURE

Soft skills are defined as the non-technical competencies which are influenced by an individual's personality attitude, ability, and motivation to interact with others (DuBrin, 2015). Effective IPS require an individual to both enact their IPS and to successfully interpret and understand the behaviours of others (Klein, DeRouin, & Salas, 2006). There are differing views among industry and academics about what competencies fall under the umbrella of soft skills (Tempone et al., 2012). However there appears to be general consensus that IPS include oral and written communication, critical thinking, ethical judgement, integrity, cultural awareness and sensitivity, emotional intelligence, empathy, impression management, social influence, interpersonal relationship skills, self-motivation, adaptability, willingness to learn, negotiation, team/groupwork, listening, resolving conflict, presentation skills, leadership skills, decision making, and stress management (Batista & Romani-Dias, 2021; DuBrin, 2015; Martin, 2019; Tempone et al., 2012).

There is large body of scholarship concerning teaching soft skills in a university curriculum (Daff, 2013; DeKay, 2012; Klein et al., 2006; Martin, 2019; Nealy, 2005). Within the business school context there is an emerging body of literature (Anthony & Garner, 2016; MacDermott & Ortiz, 2017; Taylor, Mather, Evans, & Cable, 2011) with several arguing for more focus on IPS particularly in relation to MBA programmes (Laud & Johnson, 2012; Muff, 2012; Varela, 2020) where the uptake of IPS courses has been driven by accreditation requirements such as that offered by the Association to Advance Collegiate Schools of Business (AACSB)(Batista & Romani-Dias, 2021). Laud and Johnson

(2012, p. 67) argue there are "areas of structural resistance to soft skills development" in MBA programs. It is also apparent that approaches to teaching IPS have moved marginally from the traditional teaching pedagogies (didactic delivery) in other business school topics, for an exception see Martin (2019).

There is an emerging recognition that in comparison to technically focussed courses (such as finance or accounting), soft skills courses require precise attention to inclusive teaching practices because the characteristics of a soft skill curricular will inevitably raise issues in relation to individual differences (such as gender, personality, culture, and prior life experiences), the management of sensitive conversations, and the need to address conscious and unconscious biases. This requires careful consideration of the course content, expectations during delivery, and assessment (Appert et al., 2018; Nealy, 2005). This aspect of teaching IPS is rarely touched on in the literature beyond language difficulties for students.

A MODEL FOR TEACHING INTERPERSONAL SKILLS FOR PROFESSIONALS

Flinders University, College of Business Government and Law in South Australia has a medium sized business school (Flinders Business) consisting of approximately 1250 students. Flinders Business responded to the call for stronger interpersonal skill competency in graduates by developing a course to develop IPS in undergraduate business students, named Interpersonal Skills for Professionals. This course was viewed by the various discipline Teaching Program Directors as complimenting student's technical development. The course curriculum was developed over three years by the author incorporating student and tutor feedback after each teaching period. The learning outcomes included being able to understand and recognise different communication styles, adopt strategies for self-discipline and self-management, use emotional intelligence to communicate with others, work effectively with teams , influence others, embrace diversity and intercultural communication, and present with confidence to individuals and groups.

Model development

The model (refer Figure 1) was adopted in the second semester of 2020 following a further revision to accommodate interpersonal skills required for working virtually because of the COVID-19

pandemic. As 2020 progressed it became clear that the move to virtual work was not a going to be short-term, consequently it was likely graduates would start their career working virtually at least some of the time. Given that IPS are enacted situationally, the author to consider what IPS contributed to working effectively virtually. To answer these questions, the author drew on their own recent experience as a practitioner (management consultant), discussions with students, conversations with industry, and reviewing the literature on virtual communication. It became apparent that the current IPS course modules remained relevant. However, the author identified subtle differences in the behaviours required for virtual working which necessitated individuals to be more conscious of certain interpersonal behaviours, develop some new behaviours and manage the inherent risks of virtual communication. From the review seven key themes emerged:

1. Managing our relationship with technology to maintain good mental health.

2. Awareness of our virtual personas and their impact on our professional brand.

3. Developing meaningful professional and personal connections in a virtual environment.

4. Giving and receiving feedback in a virtual environment.

5. Gaining consent, consensus, and commitment in a virtual environment.

6. Recognising and dealing with emotions, our own and others'.

7. Effective use of technology (i.e., video conferencing, email, emojis etc.).

Specific IPS identified from these themes included active listening, personal productivity*, empathy, emotional intelligence, assertive communication, ethical behaviour, virtual etiquette*, time management* and virtual teamwork*. Many of these skills were already included in the curriculum however those marked with an asterisk (*) were newly integrated or more strongly emphasised in a revised course content, workshop activities, online discussions, and assessment.

The pedagogical approaches adopted in this course are supported by three pillars: student-centred; job-oriented; and inclusive (Appert et al., 2018; Weimer, 2002). The foundation of the curriculum structure was adapted from the model for improving interpersonal skills originally developed by Bonoma and Zaltman (1981) and renewed by (DuBrin, 2015, p. 25). This model of learning involves five development stages: (1) setting a goal or desired situation, (2) assessing reality, (3) action planning, (4) feedback on actions, and (5) frequent practice. Additionally, the framework

for IPS performance proposed by Klein et al. (2006) was referenced. Specifically, the recognition that there are important antecedents to IPS including previous life experience and individual differences. Thus, each student will commence their IPS development journey from a unique point. Consequently, the adapted model (refer Figure 1) incorporates the Klein et al. (2006) framework with DuBrin's (2015) first four stages of IPS development: (1) goal setting, (2) assessing reality, (4) action planning, (4) awareness, practice & feedback, along with an additional stage of (5) future career focus.

INSERT FIGURE 1 ABOUT HERE

Teaching philosophy

The teaching and learning philosophy adopted is best placed under a constructivism framework (Alzaghoul, 2012) focussing on a learner's prior experience with a foremost focus on situated learning activities. In the classroom this is enacted by the teacher taking on a facilitation role with students being active rather than passive learners. Course theory and concepts are presented in a lecture which since 2020 has been recorded as four to five mini-lectures of 8-10 minutes duration. Each mini- lecture covers a single sub-topic from the weekly module. In addition, students are *required* to participate in a weekly two-hour workshop where participation is assessed. Workshops are available in both on-campus and online modes to facilitate student participation. The participation assessment weighting has been carefully considered in the context of the overarching learning objectives and inclusive teaching practices. To facilitate student inclusion an assessed online forum was introduced to enable students to interact, discuss issues and solve problems. Despite a general move away from required tutorial participation and the assessment of participation across the university this course has been recognised as an exception.

Curriculum

Course modules

Table 1 details the course modules aligned with the IPS development journey (refer Figure 1), and the activities undertaken in the workshops. Topics include individual differences, self-esteem and self-confidence, team working, group problem solving, negotiation, personal productivity, inclusive

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language, ethical behaviour, the future of work, future-self and professional branding. The unique and innovative curriculum takes students on a journey of self-discovery and skills development while acknowledging that each student will begin and end their journey at a different place.

INSERT TABLE 1 ABOUT HERE

Assessment

Assessment is continuous and varied to facilitate all students an opportunity to succeed. Table 2 details each assessment including the learning objective, an overview of the assessment and the weighting toward the final course grade. Formative assessments are focussed on self-assessment, peer feedback, and reflection. More challenging assessments, such as the video are scaffolded with workshop exercises and peer feedback. Summative assessments include interpersonal skills concepts quizzes and career preparation, including video interviews and networking via social media (LinkedIn).

INSERT TABLE 2 ABOUT HERE

COURSE DELIVERY

Logistics

To successfully deliver an interpersonal skills course there is a requirement for sufficient infrastructure and a suitably qualified and skilled faculty. To deliver this course Flinders Business invested in the necessary staffing and infrastructure to deliver two-hour workshops with a maximum of 25 students in each workshop. This is a significant time and staff investment. Additionally, care has been taken to book teaching spaces which are suitable for experiential learning activities. This includes a space large enough for students to move around freely, re-arrange furniture as needed and access IT infrastructure as required.

Faculty

Teaching faculty selected to run workshops need to have the pre-requisite competencies to teach soft skills. Sourcing these individuals remains an ongoing challenge. For Flinders Business this

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need has been largely met by academic practitioners, and education focussed academics, mostly casual, who have well developed IPS accompanied with work experience in fields such as human resources, consulting, and marketing. The course coordinator is required to be actively involved in the course. There is a need to regularly engage with teaching faculty by discussing issues related to delivering the curriculum including: working through issues that arise in the workshops such as interpersonal conflict between students, mental health and inclusion issues, guidance regarding course delivery, and moderation.

Student cohort

Student participation is integral to the success of the course. The course is core for students majoring in accounting, finance, and management. The course is also available to students from other disciplines within the College and wider university. Consequently, there is often a small cohort of students from non-business disciplines such as animal behaviour, IT, Law & teaching, and science. This diversity of student cohort compliments the goals of the program in terms of IPS development through exposure to individual differences.

Curriculum update

The curriculum must be continuously updated in consultation with industry and with reference to the latest academic and grey research findings regarding the priority IPS skills. Likewise, continued evaluation of student's outcomes is needed to ensure the goals of the course are being achieved.

NEXT STEPS

A planned evaluation of the course was postponed in 2020, due to the abrupt move to online teaching and changes to the curriculum. Evaluation will re-commence in late 2021 with preliminary results available in late 2022, allowing for two cohorts to be evaluated (approx. n=200).

FINAL REMARKS AND CONCLUSION

There has been an ongoing call from the business community for graduates with stronger IPS capability which has concerned academics for some time. Preparing students for

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The move to remote work gave further emphasise to the important of IPS in being able to work effectively. This paper presents a model, overview of the curriculum and assessment summary for an IPS course developed and adopted to bridge the gap in IPS development for business students. Successful delivery of an IPS course such as this requires careful, contemporary curriculum design supported by the necessary infrastructure and delivered by trained faculty with strong IPS capability. The results of the evaluation scheduled in 2021/22 will provide tangible evidence of the courses impact.

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Figure 1: Model for Interpersonal Skills Development

Introduction & Goal Setting
Introduction to the topic. Setting a personal goal for improving my interpersonal skills.

Assessing Reality
Self-awareness, critical reflection, self-assessment, awareness of others.

Awareness, Practice & Feedback
Interpersonal capability development, peer and teacher feedback, self-reflection.

Future: Career
Preparing for a career during the Fourth Industrial Revolution and a hybrid work environment.

Lecture material

IP Skills development Journey

Negotiation
Team working
Self-esteem/Self-confidence
Individual differences
Group Problem Solving
Topic Introduction
Personal Productivity
Inclusive Language
Ethical awareness
Professional brand
Future self
Future of work

Virtual working

❑ IPS in a virtual world

❑ Dealing with virtual criticism
❑ What is your public profile?
❑ Nomophobia
❑ Remote teamwork

❑ Reading and managing emotion
❑ Lying in virtual communication
❑ Thriving or just surviving on Zoom
❑ Email vs SMS/Message

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Table 1: Curriculum overview

Modules/Topics	Related workshop and online activities
1. IPS Development Framework	Exploring interpersonal skills required in your profession IPS in the virtual world
2. Individual differences	Active listening exercises Thriving or just surviving on Zoom
3. Building self-esteem & self-confidence	Self-assessment and reflection: Assertiveness in different contexts Dealing with virtual criticism
4. Teamwork	Team activity – Smart play (Lego®) Making remote teams work
5. Group problem solving	'Team Challenge' – multi-team business simulation
6. Negotiation	Negotiation role plays (one-on-one negotiation and multi-team negotiation) Email, SMS & messaging
7. Resolving conflicts	Self- assessment and reflection: Conflict Handling Style Reading and managing emotions in virtual settings
8. Positive political skills	'Team Challenge' – multi-team simulation
9. Personal productivity	Procrastination self-assessment and exercises Nomophobia
10. Inclusive language in the workplace	Re-writing statements to make them inclusive
11. Ethical behaviour	Uncovering personal values Creating a Personal Code of Conduct Lying in virtual contexts
12. Future self	Draft video presentations and peer feedback Imaging your future self
13. Managing your personal brand	Personal branding Sharing draft introduction videos
14. Career management	Networking in and across classes

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Table 2: Course Assessment

Learning Objectives	Activity	Description	Weight
• **Understanding and awareness of different communication styles and individual differences**	Course commencement short essay	Students pick from a list of quotes one which resonate with them and write about how this quote signifies their experience communicating with others. This helps the student focus on IPS and reflect on how they communicate with others, setting the scene for the semester's topics. This exercise also provides valuable information for teaching faculty, recognising that students come to class with a wide range of experiences and skills, all starting from different places.	9%
	Self-assessment Essay	Students take the Short Form for the IPIP-NEO, (International Personality Item Pool Representation of the NEO PI-R®) and write an essay reflecting on how aspects of their personality may impact on their interpersonal relationships in the workplace.	30%
• **Understanding of different communication styles**	Quiz	Students take two quizzes (multiple choice/TF/short answer) to test their understanding of the theories and concepts related to interpersonal skills	20%
• **Professional branding,** • **Use emotional intelligence to communicate with others** • **Present with confidence to individuals and groups** • **Influence others**	Introduction video	Students create a two-minute introduction video for a professional role. Videos must address a provided set of questions to uncover what the student is studying and why, their skills and characteristics applicable to the role and to reveal something about themselves (i.e., hobbies, sport etc.). Students show a draft video to a small group of other students in a workshop to receive feedback. Students use this feedback to improve their video prior to submission.	10%
	LinkedIn profile	Students create a profile on LinkedIn and build a network of a minimum 20 people.	10%
• **Adopt strategies for self-discipline and self-management** • **Work effectively with teams** • **Use emotional intelligence to communicate with others** • **Present with confidence to individuals and groups** • **Embrace workplace diversity and intercultural communication** • **Influence others**	Workshop participation	Participation is assessed in relation to the student's behaviour in class; response to teacher requests for participation; involvement in activities and discussions; and sharing of thoughts, ideas, needs and feelings.	11%
	Discussion forums	Students respond to 10 weekly discussion forums. The forums provide an opportunity for students to engage the class in creatively proposing and exploring ideas on a topic through self-directed research and reflection to generate ideas towards the development of a class position (shared understanding) on a topic and to enable individuals to participate in class discussion in a virtual context.	10%

1 Human Resource Management

Delivered Session

**Workplace wellbeing initiatives and their
effectiveness: Learnings from Aotearoa
New Zealand during Covid-19**

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Workplace wellbeing initiatives and their effectiveness: Learnings from Aotearoa New Zealand

ABSTRACT: *This study investigated workplace wellbeing initiatives and their effectiveness from the perspective of Human Resource Management practitioners in Aotearoa New Zealand. Whilst the findings highlighted limitations pertaining to the structure and measurement of the effectiveness of workplace wellbeing initiatives, there are considerations for Human Resource Management practitioners to consider a more holistic approach to workplace wellbeing initiatives and measurements.*

Keywords: Workplace Wellbeing, Human Resource Management, Aotearoa New Zealand, Covid-19

In the last decade, workplace wellbeing and their corresponding initiatives have received increased attention from both practitioners and researchers alike. It has been well established within literature that workplace wellbeing initiatives are implemented with the aim of increasing employee wellbeing which in turn affects organisational performance in a positive manner (Warr, 2007; Carmichael, Fenton, Pinilla Roncancio, Sing & Sadhra, 2014; Spence, 2015; Summers, Morris & Bhutari, 2019). This focus emerges from the realisation that an organisation's strategic competitive advantage in a rapidly progressing environment is achieved through the people function, rather than the traditional production methods (Luthans & Youssed, 2004). This has thus led to organisations investigating, investing, promoting, and actively engaging with a number of initiatives in order to maintain and enhance employees' wellbeing in the workplaces (Carmichael et al., 2014). Despite the substantial interest and initiatives implemented within organisations, there is still a paucity of empirical data pertaining to workplace wellbeing initiatives and their effectiveness, which has led to calls for further empirical evidence to inform a more robust understanding (Warr, 2007; Edgar, Geare, Halhjem, Reese & Thoresen, 2015; Spence, 2015; Summers et al, 2019). To add to this complexity, despite the abundance of workplace wellbeing initiatives that have been adopted and implemented, there is still no agreed consensus among researchers as to what personal or organisational outcomes can be used to measure the effectiveness of workplace wellbeing initiatives. Currently, the measure of workplace wellbeing initiatives sees a plethora of focuses or outcomes, for example, job satisfaction, employee engagement, work-life balance, general health outcomes such as blood pressure, weight, and psychological health, which are heavily influenced by principles from Human Resource Management and Occupational Health and Safety (Shain & Kramer, 2004; Pescud, Teal Shilton, Slevin, Ledger,

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Waterworth & Rosenberg, 2015; Spence, 2015; Kowalski & Loretto, 2017; Summers et al, 2019). Additionally, there are also calls for these empirical data to be obtained from organisations, since considerable amount of data to date have been derived from tertiary institutions, be that from students or fellow academics as well as from employees. There have also been suggestions that further qualitative studies should be undertaken since most empirical data is quantitative in nature. These considerations have prompted us to explore the type of workplace wellbeing initiatives that are being implemented as well as their effectiveness. We set out to gather information from practitioners in both private and public organisations of Aotearoa New Zealand who have the responsibility of overseeing workplace wellbeing initiatives within their organisations. However, the reality of workplace wellbeing initiatives changed rapidly and drastically with the emergence of a pandemic, namely Covid-19. The capability for organisations to maintain a healthy and productive workforce during the time of the pandemic saw new challenges and adaptations to ensure the wellbeing of employees are maintained. Thus, the aim of this paper is to explore practitioners' perceptions of existing workplace wellbeing initiatives during the Covid-19 pandemic and their effectiveness.

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LITERATURE REVIEW

What is employee wellbeing and why does it matter?

As aforementioned, the role of employee wellbeing has received increased attention from both researchers and practitioners in recent years. It comes as workplaces recognised that employees' wellbeing is interrelated to organisational outcomes such as profitability and productivity, as well as providing the organisation with competitive advantage (Sauter, Lim & Murphy, 1996; Boxall & Steeneveld, 1999; Luthans & Youssed, 2004). Despite the increased attention in recent years, it is important to note that research on this topic is not new and has been forthcoming since the 1970s, with interest and contributions from several disciplines, such as psychology, sociology, human resource management, economy, and health (Kowalksi & Loretto, 2017; Carmichael et al, 2019).

Traditionally, employee wellbeing was mainly explored and conceptualised through one perspective, either physical, psychological, social, or emotional (Smith, Kaminstein & Makadok, 1995; Conrad, 1988; Grant, Christianson & Price, 2007; Loon, Otaye-Ebede & Stewart, 2019). Early research in the 1970s into employee wellbeing often focused on the role of stress and its relationship to physical and psychological wellbeing (Kahn & Quinn, 1970; Margolis, Kroes & Quinn, 1974; Cooper & Marshall, 1976). As research into this topic progressed, the role of employee wellbeing saw a paradigm shift which then recognised an employee's work and personal lives are not separate entities, instead they are interconnected, which can have reciprocal effects (Conrad, 1988; Warr, 1990; Staw & Barsade, 1993; Cooper & Cartwright, 1994). Additionally, researchers have also argued that one perspective may not be sufficient in providing the full understanding, and there is a multitude of factors that often interact or overlap to inform the understanding of employees' wellbeing (Zedeck & Mosier, 1990; Danna & Griffin, 1999; Meyer & Maltin, 2010).

With such a broad domain of disciplines contributing to the conceptualisation of employee wellbeing, there is difficulty to find any consensus within literature regarding what it entails and how it is defined (Kowalski & Loretto, 2017; Franco-Santos & Doherty, 2017). Definitions of employee wellbeing often varied and is constructed through the lens employed by the respective researchers. Despite the lack of consensus, all researchers and literature have a common understanding and agreement that the role of employees' wellbeing in the workplace has important considerations for

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organisations due to its overall impact on organisational outcomes.

Workplace wellbeing initiatives and their effects

As highlighted, the importance of employee wellbeing is pivotal, and this became more prevalent as the world experience a pandemic which saw challenges and new practices being implemented within very short timeframes with minimal preparation. In Aotearoa New Zealand, the Government announced a national lockdown on 23rd of March 2020, which required New Zealanders to stay within their household-level isolation 'bubbles' (Palmer, 2020). People could leave the house for 'essential' purposes, such as buying groceries, accessing medical services and exercise within the boundary of their neighbourhood. New working realities such as working remotely from home, social isolation, bubble system and teleconferencing became the norm for employees. Organisations had a small window of time to ensure their employees can continue working and maintain communication with colleagues and stakeholders whilst juggling additional demands such as home schooling or caring for sick family members as well as maintaining their own wellbeing. It is also crucial to note that the notion of workplace wellbeing initiatives during this time have also changed as constraints such as new working patterns, isolation, different workplace locations and use of teleconferencing are now in place.

With these changes in mind, Brar and Singh (2020) identified and proposed six key workplace wellbeing initiatives organisations should consider adopting to minimise the amount stress among employees during the uncertainties brought about by Covid-19, which are (1) regular briefing or update from senior management regarding Covid-19 scenario, (2) keeping an open communication channel with employees, (3) ensuring required infrastructure and technology requirements are in place for employees to continue working remotely, (4) provision for flexibility in working patterns due to increased responsibility such as home schooling, (5), and finally (6) boosting motivation and resilience of employees. To date, studies investigating workplace wellbeing initiatives during Covid-19 have focussed on healthcare professionals as this group was crucial in the response to the pandemic. However, the effectives of workplace wellbeing initiatives implemented during the Covid-19 pandemic remain scarce. In a recent study by McFadden, Ross, Moriarty, Mallet, Schroder, Ravalier, Manthorpe, Currie, Harron and Gillen (2021), they examined the role of coping strategies to wellbeing and quality of working life among health professionals in the United Kingdom during the first months of the Covid-

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19 pandemic. As hypothesized, positive coping strategies, in particular help-seeking and active coping were associated with higher wellbeing and better quality of life. Bulićska-Stangreck and Bagiećsk (2021) on the other hand examined the role of employee relations and interpersonal trust in the context of remote working caused by Covid-19 and the promotion of positive mental health. In this study, it was reported that employee relations have a significant positive impact on job satisfaction which in turn enhanced the sense of wellbeing among employees.

METHODOLOGY

This research paper aims to explore workplace wellbeing initiatives from the perspective of individual employees working for public or private organisations in Aotearoa New Zealand. The data collection was conducted within a larger research project carried out in 2019 titled "Workplace wellbeing: current status and key practices within Aotearoa New Zealand". However, due to the pandemic, it became apparent that in addition to what was originally set out to achieve, we also had the opportunity to obtain additional data pertaining to the perceptions of employees during the Covid-19 pandemic. To ensure that the data we collected were relevant to the intention of this research, we revised the original data collection instrument and added questions about workplace wellbeing initiatives during the pandemic.

This study employed a purposive non-probability sampling technique which is commonly used for qualitative research and is deemed as suitable for semi-structured interviews (Galetta, 2012). This sampling method does not aim to identify and select participants randomly, rather, participants are identified and selected based on an established sampling criterion established before sampling is commenced (Patton, 1990). All participants sampled were working in Aotearoa New Zealand. To identify them, we determine an inclusive criterion which states participants invited must be working in a position with formal responsibility for overseeing workplace wellbeing decisions, practices, and processes within the organisation. Purposive sampling is also recommended when there are a limited number of potential participants, hence, allowing the researcher to target specific participants who will contribute their experiences, perceptions, and understandings (Seidman, 2006; Rudestam & Newton, 2001). We tried to obtain sampling from a broad spectrum of working environments, and within the

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sample we aimed for as many ISCI main codes represented as possible. Aspiring to do this allows us to gain insights from across business in Aotearoa New Zealand and not just from one specific sector, proving a more holistic view of current practices. A total of 26 interviews were concluded and we continued until the point of saturation had been reached. A summary of the participants information and the industry they represented are presented in Table 1.

Insert Table 1 about here

It is important to note that we were soliciting the participants own lived experiences and realities, and not the views of their employers or company official positions. An in-depth semi-structured interview was carried out with participants. The choice of semi-structured interviews offers several advantages; the rigidity of its structure can be varied depending on the participant (Kelly, 2010) and it enables reciprocity between the researcher and participants, something of importance when perceptions and views of a current phenomenon is investigated (Galletta, 2012). Semi-structured interviews also allow the interviewer to ask follow-up questions when required, and probe further when something of interest is discussed (DiCiccio-Bloom, & Crabtree, 2006; Rubin & Rubin, 2005; Polit & Beck, 2010). The interviews were conducted utilising Zoom between July to November 2020 and whilst this is a common approach to data collection, it is important to be aware that it offers a slightly different environment compared to in-person interviews. To ensure that the right environment was present, we allowed time for familiarisation between the interviewer and participants. When conducting the interviews, we adhered to the work of Minichiello (2008) to ensure a holistic view of the participants' lived experiences can be captured.

Thematic analysis was used to analyse the data collected from the interviews. This allows researchers to identify, analyse and discuss reoccurring patterns identified within participants' narratives (Boyatzis, 1998). The thematic analysis we employed also adhered to the work of Braun and Clarke (2013), who suggested a six-phase process to identify themes. Through this, a total of four unique themes were identified and we believe that the findings will offer an interesting insight into workplace wellbeing initiatives in Aotearoa New Zealand during Covid-19.

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FINDINGS AND DISCUSSIONS

Four main themes emerged from the analysis which highlighted the practitioners' views regarding workplace wellbeing and their initiatives. To highlight themes, selected interview quotes from the transcribed interviews are presented. It is important to note that their views have been influenced by recent lived experiences of Covid-19, and it is noticeable that there has been considerable reflection regarding workplace wellbeing and their initiatives which led to participants questioning the present approaches undertaken.

Theme 1 – A lack of structured workplace wellbeing framework

The participants felt there was no structured approach to workplace wellbeing and that there was a lack of oversight. Several commented that many of the initiatives were based on employee suggestions, sales pitch by external organisations or consultants, or initiatives introduced based on readings from organisations such as the Human Resources Institute of New Zealand. However, when questioned, most participants felt that this was not best practice approach to conceptualising workplace wellbeing, and they believed that changes to conceptualising workplace wellbeing is approached was needed. Participants have also voiced their concerns regarding overlapping initiatives, and the lack of clarity regarding the effectiveness of some workplace wellbeing initiatives.

P24: *"Presently we don't have full oversight on workplace wellbeing. We have introduced initiatives, but we have no structure or process around it. Instead, we introduce an initiative and it's left to live its own life. No follow ups, no measurements. The initiatives are well meant, they are introduced with all the right intentions, but we have no strategy around our initiatives."*

This tension is not new; a lack of structure, frameworks and duplicating initiatives have been highlighted in previous research (Gratwich et al, 2006; Kowalski & Loretto, 2017; Loon et al, 2019; Waterman et al, 2010). In addition, many of the participants felt that the workplace wellbeing initiatives are similar in nature and tend to only focus on one aspect of wellbeing rather than adopting a holistic approach.

P12: *"Our initiatives see plenty of duplications. We provide several physical wellbeing initiatives, subsidised gym cards, subsidised PT, we bring in fitness coach every week. We have several initiatives that focus on healthier food choices, but we don't have anything in regard to stress*

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reduction for example."

When asked, participants have stated that the reason for the overlap of initiatives can be attributed to a lack of oversight as well as a lack of structure around workplace wellbeing. Several participants also questioned the process around how workplace wellbeing initiatives are introduced and implemented. Furthermore, it was felt that in some instances, workplace wellbeing initiatives were viewed as compensation, benefit and focused on rewards. For example, free gym memberships which was often stated to be an employee benefit rather than a workplace wellbeing initiative. This viewpoint aligns with present literature which states that there is a focus on eudemonic initiatives aimed at making employees happier rather than on hedonic initiatives, and that there is often an imbalance within the initiatives where several eudemonic initiatives focus on one or two wellbeing aspects (Ryan & Deci, 2001; Bartels et al, 2019). It was felt that presently, wellbeing was not considered from a holistic approach, rather being a piecemeal and ad hoc. This perception adhered to literature which stated that a range of workplace wellbeing initiatives, covering the social, physical, psychological and emotional aspects must be considered in order for it to be effective (Bakker & Oerlemans, 2011; Grant et al, 2007; Loon et al, 2019).

Theme 2 – Workplace wellbeing initiatives are not measured for impact

There were many comments made regarding the inability to understand and measure the overall impact of workplace wellbeing initiatives. Our participants felt that, whilst they have implemented workplace wellbeing initiatives, there is a lack in follow-up or measurement of their effectiveness. Instead, the most used measurement tools are based on the occupational health and safety records which showcase the number of workplace injuries or incidents, and job satisfaction surveys which are completed annually or as part of performance reviews.

P19: *"We have no tools that measure the usefulness of our workplace wellbeing initiatives and whether our initiative contribute to improved wellbeing. All we have is a few snippets of information gained from our annual employee satisfaction survey."*

The lack of measurement on workplace impact from wellbeing initiatives is also a common theme in literature, and it is often noted that whilst organisations implement initiatives, they are unable

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to measure its usefulness (Ryan & Deci, 2001; Bartels et al, 2019). The lack of data to measure impact that our participants highlighted aligns with literature, where it is stated that implemented initiatives are rarely data driven, nor based on organisational needs, gap analysis or other validated data (Kowalski & Loretto, 2017; Pescud et al, 2015). Additionally, our participants have also stated that they did not know if workplace wellbeing initiatives have contributed positively. This lack of clarity around the relationship between specific initiatives and improved employee performance have been noted in literature. While there is an assumption that there is correlation between workplace wellbeing and improved employee performance, there is presently not enough empirical data to support the belief (Ryan & Deci, 2001; Bartels et al, 2019).

The lack of connection between workplace wellbeing initiatives adhered to literature whereby there is little data to support the assumption that one specific workplace wellbeing initiative may lead to overall improved workplace wellbeing. Instead, researchers have argued that measuring individual initiatives does not make sense since it is the holistic approach that contribute to workplace wellbeing (Guest, 2017; Loon et al, 2019). In this case, our participants have stated that they have not adopted a holistic approach, instead they had implemented workplace wellbeing initiatives based on what was deemed as required in the moment. Hence, their perception of needing to measure each initiative might not be realistic.

Theme 3 – The lack of strategic congruence

There was also a discussion around the perceived lack of strategic congruence between workplace wellbeing initiatives to the organisation's values, mission, vision and culture. The ability to demonstrate how workplace wellbeing contributes to these set goals were deemed important by some participants, but the implementation of the workplace wellbeing initiatives did not consider these.

P9: *"A key organisational value for us is collaboration, yet we don't have any workplace wellbeing initiative that fosters this…"*

The need to provide strategic congruence is often stated as a key enabler and authenticator among management and HRM literature (Nilsson & Rapp, 2005; Noe et al, 2017). The consideration to the relationship between workplace wellbeing initiatives and organisational values, mission, vision and

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culture has been stated as key consideration where further awareness is needed. However, workplace wellbeing literature rarely considers strategic congruence, and the few studies that have considered it have not found evidence of this being a priority (Haski-Leventhal, Roza, & Meijs, 2017).

Theme 4 – Disconnect between management expectations and HRM reality

Due to the increased attention on workplace wellbeing during a pandemic, there was additional pressure from management around the expectations of workplace wellbeing. Management was stated to have unrealistic expectations and lacking the understanding when it comes to workplace wellbeing. The concept of time was a major theme highlighted by participants. While our participants stated that workplace wellbeing initiatives have both long term and short-term effects, management often believed that they could see the effects almost immediately. This became especially noticeable during the lockdown periods, where all staff were required to worked from home (WFH).

P7: "Suggestions from senior management were often unhelpful, they pushed for daily or weekly Zoom meetings to gauge employee wellbeing. How our managers should gauge employee wellbeing during such meetings were not considered nor what training our managers would need to be able to do this with some accuracy. This showed how little management understood workplace wellbeing and increased our frustration. What they suggested was unrealistic and lacked any linkage to real workplace wellbeing."

Management was also stated to be questioning the need for workplace wellbeing social initiatives and are reluctant to provide budgets for this. Social wellbeing initiatives was seemed as providing money for employees to have fun rather than being an initiative to help build team camaraderie and teamwork in the workplace.

P15: "Management don't see the need for social activities. For them it's a cost that doesn't provide benefits to the company. While we argue that interactions outside the workplace helps build a more resilient team and a happier workplace, they don't understand this need."

In literature, social wellbeing is seen as a key to successful workplace wellbeing. Kramer (1999) and Bradbury and Lichtenstein (2000) argued that interactions occurring among people in the workplace can generate trust, reciprocity, cooperation, and support. These interactions are stated to be especially

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important when change is occurring, and well managed such interactions would help workplace wellbeing and productivity (Chen & Cooper, 2014). Organisational commitment theory has also suggested that when employees feel valued and supported by their employers, they develop a sense of commitment to the organisation which can affect several workplace behaviours, such as performance (Meyer & Allen, 1991).

LIMITATIONS AND FUTURE RESEARCH

Whilst this study has presented empirical evidence of workplace wellbeing initiatives, their effects and limitations during Covid-19, it is important to note that these findings and insights are only applicable to the participants who were involved in the study and cannot be generalised across industries they have represented. Despite this limitation, the findings and insights have provided empirical support towards workplace wellbeing literature as well as adding to the paucity. In the interest of progressing the understanding of this phenomena, we offer following considerations for future research. Firstly, a larger sample size from both public and private organisations is used to add to the breath of findings presented. Secondly, a more holistic approach is undertaken to address and conceptualise workplace wellbeing to ensure the corresponding initiatives are also holistic and robust in nature. Finally, the effects from workplace wellbeing initiatives are measured and examined to really understand their interaction on employee wellbeing and organisational outcomes.

CONCLUSION

Heading the call to offer real world data from organisations regarding to workplace wellbeing, this paper offers a perspective that is often missing, that is, the practitioners responsible for overseeing or implementing workplace wellbeing initiatives. The empirical data we gathered shows that there are questions being raised among practitioners regarding how workplace wellbeing is structured, its selection process, and the subsequent administration of the initiatives. These findings offer insights into practitioners' perception of workplace wellbeing initiatives and its direction. Additionally, these findings have also provided insight that is not common in present workplace wellbeing initiatives literature. Participants indicated that they believed that prior workplace wellbeing had not been

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structured or formalised. Instead, ad-hoc initiatives without interrelation had dominated. There is also an acknowledgement that presently the workplace wellbeing initiatives are not considered holistically, whereby psychological, physical and social initiatives are combined and aligned, something that may reduce the overall positive impact on workplace wellbeing. There is also a focus on hedonic initiatives while most participants stated that eudemonic initiatives see less prevalence. Further consideration to the combination of the initiatives and how they can be measured will thus be sought and is an area where further considerations are expected. In addition, there is also evidence from this study to support literature that current workplace wellbeing initiatives often do not see any congruence to the organisation's values, mission, vision and culture. In fact, these initiatives are introduced and implemented based on the suggestions of a few employees or through recommendations from institutes or consultants, without an understanding of the needs of employees.

The findings also offer some interesting outlooks towards the future. The practitioners believe that change will come as a result of learnings gained from the Covid-19 pandemic. Their perception is that workplace wellbeing will become formalised and require frameworks before spending on new initiatives are approved. This is one of the direct consequences of the increased interest in the topic that can, primarily be stated to have emerged due to the lived experiences of managing workplace wellbeing during multiple lockdowns. Whilst this change is just in its infancy, there is agreement among practitioners that it is forthcoming and that they are seeking a workplace wellbeing framework that offers a holistic approach, as well as tools that allows for measurement of effectiveness.

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TABLES AND FIGURES

Table 1: Organisational and participants profiles

Participant	Industry	Number of employees	Position	Years in role	Gender
1	Financial services	100	HR Manager	6	Male
2	Agribusiness	2,300	HR Manager	3	Male
3	Engineering	700	People and Capability Executive	4	Female
4	Utility services	800	Manager People and Culture	3	Female
5	Education	130	HR Manager	6	Male
6	Industrial	300	HR Manager	9	Male
7	Banking	4,900	Manager People and Culture	2	Female
8	Public sector	500	HR Manager	4	Male
9	Retail	600	HR Manager	3	Male
10	Logistics	250	Manager People and Performance	5	Male
11	Oil and Gas	180	HR Manager	7	Female
12	Public service	3,000	Manager People and Culture	4	Male
13	Pharmaceuticals	700	HR Manager	5	Female
14	Retail	350	HR Manager	3	Male
15	Manufacturing	300	Manager People and Culture	6	Female
16	Finance	300	HR Manager	8	Female
17	FMCG	800	Manager People and Culture	3	Male
18	Public sector	500	HR Manager	5	Male
19	Industrial services	170	HR Manager	9	Female
20	FMCG	300	HR Manager	2	Female
21	Public Sector	250	Manager People and Culture	4	Female
22	Education	120	HR Manager	6	Female
23	Consulting	80	HR Manager	5	Female
24	Retail	700	HR Manager	12	Female
25	Education	65	HR Manager	2	Male
26	Retail	600	HR Manager	5	Male

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1.   Human Resource Management Stream
Abstract Only in Program

An exploratory study on knowledge workers' perceptions and experiences of working from home posed by Covid-19 pandemic in New Zealand

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An exploratory study on knowledge workers' perceptions and experiences of working from home posed by Covid-19 pandemic in New Zealand

ABSTRACT: *This paper discusses how the corona crisis impacted knowledge workers' personal views and intentions towards work from home and how knowledge workers experienced the transition back to work once restrictions were moved in New Zealand. Findings from a sample of ten knowledge workers who worked from home during the alert level 4 lockdown are presented. The qualitative analysis of the data suggests that knowledge workers experienced a gradual return to workplace accompanied by some extent of anxiety associated with this return; there was a mixed bag of perceptions related to challenges and opportunities, though opportunities outweighed the challenges with working from home and a promising future outlook for working from home as a new normal was overwhelmingly reported.*

Keywords: working from home, pandemic, knowledge workers, covid-19, flexible working**.**

INTRODUCTION

Covid-19 pandemic in New Zealand

While the corona virus-19 (Covid-19) that shook the world since first quarter of 2020 has had devastating impact on people's lives and families, yet it has also been a game changer in terms of changing patterns of work and mandating flexible working arrangements across the world. The emergence of Covid-19 was reported in New Zealand with the first case on February 28, 2020.

Thereafter there was a huge spike in Covid-19 cases reported daily and the government quickly moved into action. As a first step, different alert levels were prescribed to indicate the levels of preparedness and action required. Alert level 4 being the highest level required the strict regulation and restrict human interactions to immediate bubble. New Zealand government announced move to alert level 4 from March 26, 2020. (Unite against Covid-19, New Zealand, 2020). A timeline of covid-19 lockdown in New Zealand is given in appendix 2 (table 2). At this level all businesses were closed except essential services including health services, emergency services, utilities and goods transport. It required organisations, businesses, educational institutions to close their workplaces and, where conceivable, make arrangements to work from home (WFH), also referred to as telecommuting, teleworking or remote working in the literature.

COVID-19 outbreak and subsequent lockdown changed the way New Zealand and rest of the world do business. Online working, video and teleconferences and independent working have rapidly become the new normal (Merone & Whitehead, 2021). According to Stats NZ (2020), more than 40% of employed people in New Zealand completed at least some of their work from home during covid-

19 alert levels 4 and 3 in April and May 2020.

Work from home: an overview

Work from home (WFH) also known as 'telework', 'telecommuting', 'remote working', 'e-work' and 'virtual work' (Sullivan, 2003) began in the US in early 1970s (Katz, 1987) and became famous recently due to organisations desire to more flexible and advances in information and technology (Hilbrecht et al., 2013; Sia et. al. 2004). While flexible work arrangements generally encompass a variety of working patterns that organizations have in place such as working part-time, working compressed hours, working from home, working from an alternate work-site, contract work or consulting, and so on, during the lockdown period, work from home became the norm with employees carrying out their work duties from their homes with the use of technology.

A study on WFH, have shown that it helps improve the productivity, reduces staff turnover and sick leaves (Bloom et. al., 2015). However, there are studies which raises the challenges arising from WFH. It has been identified that virtual teams are generally less effective than face-to-face teams. Physical, mental health and work-home conflict are some of the negative effects of WFH (Kara et. al., 2021; Gajendran & Harrison 2007)

As per the survey of working life (Stats NZ, July 2019) over 50% of employees in New Zealand had flexible work hours and one-third of the NZ employees had worked from home with males and female employees fairly evenly represented prior to Covid-19. Green et. al. (2021) concludes that Covid-19 pandemic has reignited the interest in WFH, as millions of people are forced to isolate in order to contain the spread of virus. Many workers were pushed into home offices, at least temporarily, after the World Health Organization (WHO) declared the new coronavirus (COVID-19) outbreak to be a pandemic on March 11, 2020 (Timberg, 2020).

LITERATURE REVIEW

During the pandemic, organizations made the seamless transition to work from home since the lockdown was imposed due to the criticality of the situation (Bodewits 2020). As the COVID-19 epidemic significantly transformed the way people worked, many workers had to adjust to new job roles, processes, and ways of communication and collaboration (Emmett et. al., June, 2020).

Some researchers have suggested that COVID-19 can be the premise for a breakthrough in

telework (Henriques, 2020; Henschel & Cross, 2020; Knutson, 2020). During the current crisis, administrators have an extraordinary opportunity to discover or develop strategies to alleviate problems and understand the importance of virtual work that might not have been apparent before, given much past experience promoting the virtual workplace benefits (Caligiuri et.al., 2020).

According to Emmett et. al. (2020), in the covid-19 return process, organisations have the ability to enhance the experience of workers by moving from an emphasis on meeting health and safety needs to more holistic approach that respects differences within the workforce.

Flexible work arrangements (FWAs) have been extensively researched as a tool for improving work-life balance. However, the findings of these researches are mixed, with workers believing that FWAs help them balance work and personal life, while also believing that FWAs bring work home, blurring the barrier between work and leisure time (Olson-Buchanan & Boswell, 2006; McNall & Masuda & Nicklin, 2010; Noonan & Glass, 2012).

According to a survey conducted by Randstad (2011), one third of Australian employers agreed that technology will make the mobile workforce a reality. Faster internet connections, video chats, and greater data sharing have enabled workers to move a growing amount of work outside of the office, with 20% of workers completing some or all of their job from home at global level (Greenfiled, 2017).

Although, the flip side of flexible work is it may lead to work intensification, within which work expands to the times fixed for family, leisure, and other activities (Bardoel, 2012; Fear, Rogers & Dennis, 2010). Employees are more likely to endure greater work hours as well as increased work-life conflict as a result of this transition, which is involuntary, continues for a long time, and forces entire households to be housebound (Caliguiri et. al., 2020).

In a survey conducted among the HR and business leaders, employee experience ranked as a first initiatives followed by a greater focus on technology and artificial intelligence (Meister, 2020). According to Kim et. al. (2020) there is a positive relationship between flexible schedule control, WFH as part of normal working hours, and worker happiness and job satisfaction.

Covid-19 and the flexible working arrangements that were put in place have initiated conversations in organizations around New Zealand and across the globe on new ways of living and working and how organizations can best meet the needs of employees and business along with moving

towards a more sustainable future. Dingel and Neiman (2020) found that during the COVID-19 pandemic in the United States, 37 percent of jobs, such as financial work, business management, professional and scientific services, could be conducted at home. Metova (2020) conducted a survey on thousand of its consumers who were new to working from home due to COVID-19 and reveals that 48% of the respondents said they were more productive working from home and 57% preferred to work from home in the future. Now is the time to reset the experience of employees during the Covid-19 pandemic to create a more positive and enduring emotional bond between the employee and their employer.

This study would contribute to understanding the challenges and benefits arising from working from home during a crisis situation and help to formulate sustainable policies and practices that best enable to meet the needs of organizations and employees.

RESEARCH METHODOLGY

In this study, the focus is on 'knowledge workers' who had been working from home for at least half of the work week during the Covid-19 crisis. The specification of engagement with telecommuting is important because doing so for part of the week (1 or 2 days) represents a less intense form of telecommuting compared to spending the major portion of one's work week away from the central location (Gajendra and Harrison, 2007). So, our focus is on intense form of telecommuting/work from home. This research is focused on analysing knowledge workers' experiences on work from home following Covid-19 pandemic as it was felt that for knowledge workers to work effectively the context of work (home or workplace) might be as important as the kind of work tasks to be carried out. Knowledge workers are defined as employees who have to acquire, create and apply knowledge for the purposes of their work (Davenport, Jarvenpaa, & Beers, 1996). Frenkel, Korczynski, Donoghue, and Shire (1995) suggested that knowledge workers use more theoretical or abstract knowledge (e.g., employees working in IT, finance, and research) whereas routine workers rely on more contextual, less intellectual and less creative knowledge (e.g., manual labour workers).

The main research question for this paper is formulated as follows: -

Research Question 1 (RQ1): How did knowledge workers experience the transition back to

workplaces when restrictions were moved in NZ?

Research Question 2 (RQ2): To what extent has the COVID-19 crisis impacted knowledge workers' personal views and intentions to carry on WFH in future?

Ten in-depth semi-structured interviews with knowledge workers drawn from sectors such as Banking, Education, and Professional services from different organizations in Wellington region were undertaken and analysed using a thematic analysis approach. *Table 1* in appendix 1 provides demographic details of participants. Participants were selected using criterion sampling which is purposive sampling method and snowball technique. Qualitative studies are well suited to explore the experience, meaning and perspective from the study of individuals/groups own viewpoint (Hammerberg et al, 2016).

The interviews were recorded, transcribed and transcriptions were shared with study participants for their content. The data was analysed using NVivo software for qualitative data analysis. The interview files were exported to NVivo and codes were generated for all interview files. The process followed was coding segment of data that is relevant or captures something interesting about the research questions, working through the entire data set. In the next stage of analysis, the codes were examined and sorted into themes and collating all the relevant coded extracts within the identified themes. Further, themes were reviewed, refined and renamed and researchers prepared for write-up. The two researchers worked closely in validating the generation of codes and themes and accompanied data extracts. This approach to data analysis led to the findings of the research in understanding the experiences of working from home following an emergency situation of the magnitude of Covid-19 in New Zealand.

FINDINGS & DISCUSSION

The findings from the data are presented below in terms of three broad themes reflective of the research questions being examined.

Gradual transition to workplaces from lockdown induced work from home

This theme captures the preparation for working from home; gradual workplace transition process followed once restrictions were lowered in New Zealand from alert level four to lower levels of lockdown and also accompanied feelings of anxiety around return to workplace.

At the outset, a proactive approach and support by organization to lockdown induced working from home was reported by some participants.

Our organisation with the COVID response, the COVID communication, everything COVID related has just been 100% perfect, just really good around the equipment, the communications that came out, the compassion that they've got, the flexibility. Everything has been really good and I keep going back to the fact that before we went into lockdown, which was on a Monday, the Wednesday prior they asked the whole office to work from home as a test if we are ever to go into lockdown.

As Emmett et.al. (June, 2020) work suggests that companies can reimagine the employee experience in ways that respect individual characteristics including family, talents, attitudes, and other aspects, while also adapting to rapidly changing circumstances.

Furthermore, a few participants shared their experiences of gradual and smooth return to workplace coinciding with the different alert levels in NZ.

It was a graduated return to work scheme so not everyone actually came back to work on day one. The different Levels in this building was managed so I think it was like 10%, 20%, 50% and then after 50% when we came down to Level 2 that went back up to 70-75% and when we were at Level 1 that's when it came up to full occupancy.

Feelings of anxiety associated with return to workplace were expressed by another participant seen in light of the fear of social contact posed by pandemic.

But back then I was still really concerned, I didn't quite trust that COVID wasn't out there and so it was a bit hard for me to go back into the office. I still remember the first day because we had a gathering of the whole team and it felt really weird, I kept stepping back from people because it felt weird to be that close to people and it took me a few days to feel comfortable being around people and trusting that I wasn't going to get sick from them.

The results echo the finding of Shaw et al (2020) which found that COVID-19 workplace opening mirrors some of the issues associated with the return to work and occupational rehabilitation literature; further COVID- 19 workplace opening process may need to address complexity of factors as this process is occurring against a backdrop of heightened levels of psychological distress in the community that crosses all socio-demographic divides.

Mélange of challenges and opportunities with working from home

The participants experienced a mixed bag of challenges and opportunities with lockdown induced work from home. It was perceived that working from home posed issues in terms of lack of employees' work visibility and productivity measures, missing the functionality and social aspect of office environment, challenges of shared workspace at home, and challenges of facilitating interactive meetings through technology. On the other hand, working from home enabled greater focus and productivity on work tasks, having a proper work set-up and mindset facilitated better working from home, working from home enabled becoming upskilled in technology use and also supported better work-life balance. Quotes to support these points of challenges and opportunities of work from home are illustrated below.

It was perceived working from home could be a concern in terms of visibility and clear measures of productivity as indicated by below quote:

We've got a culture of what we call presenteeism. If you show up at work that's a good thing, you're seen. It doesn't really reflect on what you're doing but as long as you're there it's OK. I think one of the challenges is actually being visible to people like managers above me. Proof of productivity is a bit of a challenge. How do you prove that you've been productive without having to micromanage people with everything that they are doing when they work from home. That's a real issue for me because we don't have KPIs, e.g., "you need to have made seven widgets". We have a much more relationship-based and influential-based approach to work and it's very hard to measure relationships and influence. Productivity is a real issue for me, managing teams is an issue for me.

Just like Gajendran & Harrison (2007) suspect that there is a so called "out of sight, out of mind." bias against employees who spend extensive time out of the workplace. Perhaps, only time will tell how greater frequency of working from home might impact career advancement opportunities for employees.

Further, on the point of visibility, it might be noted that workplace relationships influence career advancement (Colbert, Bono, and Purvanova, 2016). So, perhaps work from home might adversely affect this aspect.

Participants also expressed that they liked the functionality and social aspect of the office environment, as also challenges associated with shared workspace at home, as illustrated by the three

quotes below:

When I was able to get back to the office I thought this is so much better, this is great. I've got three screens and I can have all my stuff laid out and my books, and it was just so much easier.

That's the cool thing about working in the office is the unexpected casual conversations from a work perspective. It made it easier to be connected across teams.

I can tell you that for my colleagues, some of them had difficulties partly because they didn't have separate spaces and both them and their spouses or their roommates were all working from home and you have five people in a flat. You have all the noise and the Wi-Fi doesn't work.

Further, technology for facilitating interactive meetings was perceived to pose a challenge and time inefficiencies, as reflected by below quote:

When you get quite ambitious deadlines to deliver; like you've got till 3.00pm today and it's already midday – by 3.00pm today we want all this information from agencies, then we get hold of all the people and set up a Zoom meeting. All those things do take time. While Zoom makes it easier but you have to find a schedule and find a slot where everyone can fit into the schedule, book the meeting, send the invitations, manage the meeting, manage multiple things........Just to set up all those things, and if you try and do that in eight hours it's probably unrealistic to expect the same level of productivity and same level of performance from staff. A three hour Zoom session can get very challenging, people get very tired.

On the contrary, work from home was also seen as a way to do work tasks with greater focus and be more productive as evident from below participant view:

There are no distractions. You don't have people coming up to you all the time. If I need to get a task done sometimes I will work from home, when I don't need the noise and just need to focus. Some people are able to focus a lot better at home.

There is evidence that teleworkers are moving a few of their tasks between office days and work from home days, giving employees an opportunity to spend time in office on similar activities (Pabilonia et al, 2021).

Further, with proper work set up and setting oneself up mentally, one can work effectively; as evident in the participant view below:

I would say it has changed it (view on wfh) quite drastically and it has made me realise that if

you have a proper set up and a dedicated space other than your bedroom to go and work, I think working from home can be really effective…….. So that's the good part about how I've started to look at working from home and being more mindful that I start work at a particular time and need to finish work at a particular time, and after that I need to shut it away everything and go off and not go like I need to finish this and have that pressure on you which was a challenge earlier.

It was also evident that participants, with practice, became upskilled in technology use, as seen through this quote below:

Learning new skills – Zoom, which I had already used but not to the same extent. Then it becomes an everyday tool instead of a once in a while tool. You get much better practice at what you need to do and you learn an etiquette around it.

Work from home also led to better work-life balance and reclaiming time while working from home, as indicated by below quote:

In places where there is a big commute I think to get that better work/life balance is a huge opportunity for losing that waste time and to save money. I think anyone who is involved in a commute, the opportunity to get that time to be useable time, whether it be used for work time or whether it be used for family/personal balance time, and the cost of that commute, getting that back, there are opportunities for people to do more with less.

However, Caligiuri et.al. (2020) noted that since this transition had been spontaneous, occurred over a long period of time, and involved house-bound households as a whole, there was a greater potential for workers to experience increased hours of work, as well as increased tensions between work and life.

The participant views make it clear that working from home during crisis situation or in general poses unique and a mix of challenges and opportunities and while there exist drawbacks to working from home, if these can be managed, then working from home poses more opportunities as an effective way to work.

Promising outlook for the future of working from home

This theme discusses the huge boost received for working from home including working from home seen as a successful test case with huge impact on business resilience in emergency situations,

new patterns of hybrid work and hotdesking emerging, increasing expression of choice and flexibility in working arrangements, and opportunities for increasing potential employee base for organizations. The quotes below mirror these viewpoints reflecting an overwhelming positive outlook and support for work from home.

Participants overwhelmingly perceived work from home during corona crisis as a successful test case with earlier apprehensions about ability to work effectively from home being put to rest as well as positive outlook for business continuity in future emergency situations as reflected in quote below:

I think I had concerns about people's ability to work remotely with more flexibility and freedom but I was pleasantly surprised that we can still operate in a crisis situation or under ordinary circumstances as well from home. Not that I didn't know that but it was something that wasn't tested on a large scale. If Wellington was hit by an earthquake or something like that and we're not able to operate from the city here then people should be able to work from their home and be able to make the system move.

Work from home posed by pandemic was also perceived to be an opportunity for businesses to build resiliency within the organization and proactively plan for it as perceived by one participant in quote below:

I think organisations need to start paying attention to that and planning for that more actively to build the resiliency within the organisation. Can we continue working from home if we have an earthquake tomorrow, a tsunami, or the building is on fire or building is not occupiable? How do we continue working after that initial disruption? Having digital tools that are integrated with each other and make sense, ditching the legacy tools and moving on to newer tools that give them the flexibility to do things. I think organisations need to start actively thinking about it, and not only think about it when a calamity happens or pandemic happens.

It was clear that a hybrid approach to work including combination of working from home as well as workplace was the new normal and associated hotdesking as a practice had caught on as illustrated by these two quotes.

Yes, that's the way we work now. This is our new normal. Being able to work from home with agreement from your manager. We cater for that and meetings, we always have a Zoom option in

meetings. It's the new way, we're now hybrid, working from home and the office.

So we share a desk with someone else and in my team a lot of us do work four days a week and some of us work five days a week. Monday to Thursday we split a desk half and half so I get Monday/Wednesday and they get Tuesday/Thursday and on the Friday you just take whatever desk is available.

Bloom (2021) reported that 70% of US firms plan to implement some form of hybrid working arrangement to reap the benefits of both ways of working. However, the implications of this kind of work arrangement needs to be thought through carefully in terms of employee choice, equity and equality.

Participants also expressed need for increased flexibility and choice in work arrangements as a way forward, as well as a shift in how we work, as seen through below quote:

What I have got is perhaps the possibility of greater acceptance of the fact that when I'm not teaching I don't have to be physically here for doing things like the admin work so I could work for two to three weeks at home without coming into the office.

It was also expressed that flexible forms of work arrangements could potentially increase the recruitment base, offer opportunities to work globally or relocate and work anytime including when travelling or when caring for sick. The below participant quote reflects greater opportunities to work globally:

You can still deliver what you are doing while staying away from work. Plus you can work for any organisation remotely. You do not have to be in that country to work for that organisation.

Overall, there was a positive sentiment associated with work from home posed by the pandemic, with this pattern of work further supported through introduction of hybrid working norms and hotdesking as expressed by our sample as also perceived to be a defining feature towards greater employee choice and flexibility in working arrangements. This finding is also reflected in the research by Barrero et. al. (2021) which concludes that post covid-19 period will be an era of tele working. Due to significant investment made by companies enabling work from home during pandemic, better than expected experiences, reluctance to return to pre-pandemic activities, and acceptance to working from home as a new way of working, this change is likely to stay.

It is apparent that Covid-19 has presented an opportunity to examine the lessons learnt from

working from home during the pandemic and use that to test out new waters and chart a new path for future of work and for their organizations.

CONCLUSION AND IMPLICATIONS

The aim of this paper was to uncover the transition back to workplace once restrictions were moved in New Zealand and how the corona crisis impacted knowledge workers' personal views and intentions to carry out work from home in future. The findings were mostly in line with the theory and one noteworthy aspect of the pandemic was that overall organizations and staff made the seamless transition to work from home since the lockdown was imposed due to the criticality of the situation. People had to adopt a quick learning curve and move to new systems, technologies, new ways of working and try to integrate work with family life. Technology enabled organizations continued their operations and serve their customers perhaps with some changes and adaptations to the way that things were done. Post lockdown, one would expect workplaces to return to normalcy but somewhere something had changed. Covid-19 and the flexible working arrangements that were put in place have initiated conversations in organizations around New Zealand and across the globe on new ways of living and working and how organizations can best meet the needs of employees and business along with moving towards a more sustainable future.

It emerged from this study that while the pandemic was an extraordinary situation which brought about anxiety and uncertainty, yet, knowledge workers perceived proactive approach and support by the workplaces and experienced a smooth transition to work once restrictions were moved in New Zealand. However, working from home, in general, and particularly in relation to the pandemic was seen as a mix of challenges and opportunities, though more opportunities were seen such as working productively on tasks, a proper work set-up and mindset along with upskilling in technology use being instrumental in clear gains from work from home. There was also a clear expression for better work-life balance supported by work from home. Lastly, work from home posed by the pandemic was also seen as defining a new norm of flexible work arrangements moving forward and greater opportunities to be seized and employee voice being supported in their choice of work arrangements. So while, working from home is appreciated by employees and organisations; however, like any other revolutions, this one is tough to manage, and employers will need to examine and

engage with employees on their expectations, as well as make everyone feel included in decision making on flexible work patterns and policies. A greater level of foresight, management, care to emotional issues, and maintaining inclusiveness would be required for work from home to emerge as the clear winner in this pandemic.

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APPENDICES

Appendix 1

Table 1: Participant details

Participant id	Years of experience (current organization)	Total work experience	Ethnicity	Age range	Lockdown Bubble
P1	7yrs	40yrs	European	55+	Two kids, ex-husband and one other adult
P2	1yr	23yrs	Pasifika	36-45	Wife and two school going kids
P3	11 yrs	37 yrs	NZ European	46-55	Solo
P4	7yrs	57yrs	American	55+	Husband
P5	12 yrs	35 yrs	European	55+	Partner
P6	20 yrs	35 yrs	European	55+	son, one other adult
P7	4yrs	16yrs	Asian	36-45	Landlady
P8	10 yrs	11 yrs	Asian Indian	25-35	Husband and two kids (2 yrs, 5 yrs) Parents later on
P9	7 years	15 yrs	Indian NZ European	25-35	Partner, mom and dad
P10	2 years	6-7 yrs	NZ European	25-35	Partner, partner's mom and dad

Appendix 2
A timeline of Alert Level changes, dates of key events and the duration of the State of National Emergency. (A State of National Emergency was declared due to COVID-19. It was in force between 12:21pm on 25 March 2020 and 12:21pm on Wednesday 13 May 2020.)

Table 2: Timeline of Alert level during Covid-19 in New Zealand

History of the COVID-19 Alert System in NZ
28-Feb-20
First COVID-19 case reported in New Zealand.
14-Mar-20
The Government announces anyone entering New Zealand must self-isolate for 14 days, except those arriving from the Pacific.
19-Mar-20
All indoor gatherings of more than 100 people are to be cancelled. Borders close to all but New Zealand citizens and permanent residents.
21-Mar-20
The Government introduces the 4-tiered Alert Level system to help combat COVID-19. The Prime Minister announces that New Zealand is at Alert Level 2.
23-Mar-20
At 1:30pm the Prime Minister announces New Zealand has moved to Alert Level 3, effective immediately. In 48 hours, New Zealand will move to Alert Level 4.
25-Mar-20
At 11:59pm, New Zealand moves to **Alert Level 4**, and the entire nation goes into self-isolation. A State of National Emergency is declared at 12:21pm.
29-Mar-20
New Zealand reports its first COVID-19-related death.

31-Mar-20	
The State of National Emergency is extended at 9:27am.	
20-Apr-20	
The Prime Minister announces New Zealand will remain at Alert Level 4 for an additional 5 days. New Zealand will remain at Alert Level 3 for 2 weeks, before the status is reviewed.	
27-Apr-20	
New Zealand moves to **Alert Level 3** at 11:59pm.	
4-May-20	
No new cases of COVID-19 are reported in New Zealand.	
11-May-20	
The Prime Minister outlines the plan to move to **Alert Level 2**.	
13-May-20	
New Zealand moves to Alert Level 2 at 11:59pm. The State of National Emergency expires at 12:21pm.	
8-Jun-20	
The Ministry of Health reports that there are no more active cases of COVID-19 in New Zealand. At 11:59pm, New Zealand moves to **Alert Level 1.**	

(Source: Unite against covid-19, 2020)

Stream 9. Health Management and Organisation

How Kotter can help to end tent cities

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Stream 9. Health Management and Organisation

How Kotter can help to end tent cities

ABSTRACT: *Tent cities are part of the increase in homelessness in Australia and beyond. While tent cities offer a sense of community, they also pose health risks. Thus, they require solutions that balance community needs and tent city residents' needs. This article describes the success of an interagency response to two tent cities. Data were collected from 18 professionals, using the e-Delphi technique, and analysed thematically. The findings point to the explanatory value of Kotter's eight steps to lead change. These steps clarified how the projects supported tent city residents into housing and returned the sites to the community. This suggests Kotter's steps represent a useful framework to guide interagency responses to address tent cities that are both time-limited and successful.*

Keywords: homelessness, tent cities, encampments, change management, knowledge translation, social policy

Homelessness is increasing. In Australia, approximately 116,427 people are estimated to be homeless, representing a rise of approximately 14.0 percent in five years (ABS, 2018). While homelessness in some Australian states and territories has decreased, it rose by 27.0 percent in New South Wales (Parliamentary Research Service, 2018). Approximately 8,200 of these individuals nationwide, or seven percent, are 'rough sleepers', residing in improvised dwellings or tents, or sleeping out – this compares with 6,810 individuals in 2011.

Tent cities – otherwise known as homeless or tent encampments – are on the rise, both nationally and internationally (Henry et al., 2018; Hunter, Linden-Retek, Shebaya, & Halpert, 2014; Ministry of Housing, 2018; Odeh, 2019). In Australia, New Zealand, North America, the United Kingdom, and Canada, many people who are homeless co-reside in sanctioned or unsanctioned areas, often in makeshift shelters (Snedker & McKinney, 2018).

Tent cities are as diverse as the individuals who reside in them. They vary by size, their (il)legal status, their (im)permanence, and the materials used to create them (Chamard, 2010). Despite such variety, tent cities typically share two defining features. First, they are usually unsanctioned sites where people who are homeless co-reside, informally – specifically, 'communit[ies]… of homeless people occupy… temporary housing on undeveloped land' (Parker, 2020, p. 330). Second, tent cities typically appear where there is 'spatial and economic inequity'. In essence, they are often established when resources are distributed disproportionately.

For tent city residents, tent cities can be a source of belongingness. Tent cities can offer: peer support and safety (perceived or otherwise); stability; a sense of community; autonomy; the potential for self-governance; and an avenue to promote citizenship through political agency, resistance, and activism

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(Collins, Bates, Kearns, & Evans, 2018; Cook & Hartley, 2019; Loftus-Farren, 2011; Sparks, 2017; Speer, 2019; van Leeuwen, 2018). Similarly, for the wider community, tent cities can help to identify opportunities for outreach services to an otherwise dispersed population (Parr, 2018); they can also diversify the notion of community.

However, tent cities are no place to call home. The dark side of tent cities is visible at the personal level (Australian Human Rights Commission, 2008; Flatau et al., 2018; MacKenzie, Flatau, Steen, & Thielking, 2017), the social level (Chamard, 2010), and the economic level (MacKenzie, 2017; Steen, 2018; Witte, 2017).

There is an urgent need to identify and promote practices that offer tent city residents long-term, safe housing options. This study addresses this need. Specifically, it harnesses and clarifies the success of two initiatives in New South Wales, Australia – Project A and Project B.

The two projects were collaborations among 16 organisations that collectively represented the government and not-for-profit sectors. Given that *business-as-usual* – like standalone assertive outreach – does little to address tent cities (Herring, 2014; Herring & Lutz, 2015), representatives of the 16 organisations were inspired by international efforts (De Jong, 2016) to collectively: support the tent city residents into housing; and return the sites to the community.

Project A was a response to a tent city within an urban carpark in a central business district. The tent city included approximately twenty residents who regularly resided in improvised dwellings within the carpark over several months. Project B was a response to a tent city that included approximately forty residents who resided within several encampments. Established over several years, the encampments were situated within natural bush by the embankment of a river.

Despite their differences, Projects A and B involved interagency coordination to individually support the tent city residents into housing, and return the sites to the local community, within a predetermined timeframe. Specifically, within 42 and 83 days, respectively, the projects served to secure housing for most tent city residents, without additional funds to support either project (see Table 1).

Insert Table 1

The achievements associated with Projects A and B, within prearranged timeframes, prompt questions about how and why the projects were successful. Guidance might be sourced from change management models, like Kotter's (2012a) infamous eight-step model.

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Kotter's Eight-Step Model

Hailed as a 'guru' in change management and leadership (Anonymous, 2001; Kennedy, 2007), Kotter (2012a) argued that eight steps accelerate change. Central to this eight-step processual model is the coalition – 'A powerful enough guiding coalition with sufficient leadership [that] is not created by people who have been taught to think in terms of hierarchy and management' (Kotter, 2012b, p. 30). Once a need for change 'around a strategically rational and emotionally exciting opportunity' (Kotter, 2012a, p. 9) is recognised, and a coalition is formed, which develops a vision, commits to a plan, and institutionalises change. Although presented in a linear way for clarity, Kotter recognised that 'change is often unpredictable, messy and full of surprises, and that there are a host of mistakes that people can make in managing large-scale change projects' (Dawson & Andriopoulos, 2017, p. 273). As such, a complement of leadership and management can help to incite change and maintain control.

Kotter's (2012a, 2012b) eight-step model has been used in different organisations across the private, government, and not-for-profit sectors to guide change and/or clarify how and why change occurred or can occur. For instance, Weiss and Li (2020) used the model to lead educational change in health services during COVID-19; Wheeler and Holmes (2020) reported on its use to inform the rapid transformation of two libraries; while Caulfield and Brenner (2020) used it to clarify how collective leadership served to reduce teen births within a community.

Despite its practical appeal, Kotter's (2012a, 2012b) eight-step model is not without criticism. For instance, Appelbaum and colleagues (2012, pp. 775-776, original italics) asserted that: it represents '*A rigid approach*'; '*Some steps are not relevant in some contexts*'; 'the model is not detailed enough to provide help in all scenarios', particularly those that are difficult; and major change management projects are complex and do not readily align with the model. Relatedly, Bucciarelli (2015, p. 38) noted there is limited consideration of 'the economical and financial aspect[s]; the political forces, both inside and outside the organisation; the oppositions and the other restraining factors to change'. Similarly, Hughes (2016, pp. 454-457, original italics) argued that Kotter's descriptions: 'Crudely' classify employees as resistors; underemphasise the role of '*Ethics, power and politics*'; overemphasise linearity; '*Disparag[e]… history limit[ing]… learning and [an] appreciation of incremental change*'; overemphasise the role of leadership; underemphasise the role of '*unique cultural contexts*'; and engage in a '*Rhetorical treatment of organizational success/failure*'.

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Furthermore, Galli (2018, p. 129) noted the model was largely a 'top-down approach'. This critique is not to suggest the superiority of alternative models – but rather, to recognise the limits of Kotter's (2012a, 2012b) eight steps.

Notwithstanding this caveat, Kotter's (2012a, 2012b) model can inform change and/or help to make sense of how and why change occurred or can occur. As such, it was considered in this study to clarify how to end tent cities.

METHOD

Following the approval of the relevant ethics committee, this study involved the e-Delphi technique (MacEachren et al., 2006). The e-Delphi technique is an online method to 'obtain the most reliable consensus of opinion of a group of experts… by a series of intensive questionnaires interspersed with controlled opinion feedback' (Dalkey & Helmer, 1963, p. 458). Professionals who were involved in Projects A and/or B were invited to respond to six rounds of questions via a secure online platform – REDCap – to chronicle: what occurred; when it occurred; how it occurred; why it occurred; and the associated effects. The nature and number of questions within each round were informed by the preceding rounds. An average of 16 questions were posed per round (range: 8-38), excluding the demographic questions, which were solely posed during the first round.

To commence the e-Delphi technique, participants received an electronic mail invitation, complete with project information and a hyperlink to access a secure online platform to complete the round of questions. Participants were provided with approximately ten days to complete each round, and reminders were issued on days three and nine – extended timeframes were permitted to accommodate participants' workloads and periods of leave. Following each round, descriptive statistics were calculated using the quantitative responses (Loether & McTavish, 1980), and a descriptive thematic analysis was conducted of the qualitative responses (Boyatzis, 1998).

Participants

Eighteen (of 36) participants participated in at least one round of questions for the purpose of the e-Delphi technique (female: n=14, 39%) – eight participated in all six rounds. The 18 participants represented 11 organisations. Eleven participants were involved in either Project A or Project B, while the remaining seven were involved in both. During the projects, some participants assumed a senior managerial role within their organisation (e.g., chief executive officer), while others worked directly

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with clients of their organisation (e.g., assertive outreach worker). Most had become involved in either project from their commencement, participating in all or almost all the project meetings (*n*=7 and *n*=12, respectively). Only one participant did not attend any of the meetings, and this pertained to Project A.

RESULTS

The trajectories of Project A and Project B largely reflect Kotter's (2012a, 2012b) eight-step model, commencing with 'a sense of urgency around a single big opportunity' (2012a, p. 9) and culminating with 'Institutionalize[d]… changes' (p. 12). Each step is addressed in turn (see Table 2).

Insert Table 2

Urgency

Projects A and B were ignited by an imperative for change. Via different types of information, sourced from different channels at different times, the professionals became increasingly aware of a situation that compromised the personal wellbeing of the tent city residents, and the social wellbeing of the community, as indicated by community complaints. Furthermore, isolated efforts to accommodate the tent city residents largely proved to be futile, as the number of tent city residents grew.

Coalition

This imperative for change attracted professionals 'with a broad range of skills' (Kotter, 2012a, p. 11) to be part of and contribute to the projects as a coalition. Aware that a concerted effort was likely to be required, they harnessed the opportunity to address a shared concern. When the projects commenced, these individuals initially included senior professionals – 'a few outstanding leaders and managers… [to] gather and process information as no hierarchy ever could'. This is not to suggest that a hierarchy was introduced into the projects. But rather, these individuals became members of the project groups, given that a 'hierarchy slows down the transfer of information'.

Strategic Vision

The senior professionals' initial discussions informed the vision of the two projects. Akin to a compass, this vision guided each step, as the professionals decided what they were required to do, how, and when. Undergirded by the values of dignity and determination, the projects' aims were to: facilitate long-term housing for tent city residents in a respectful way; and return the sites to the local

communities.

These aims were pursued by: involving local organisations with relevant resources, experiences, and roles, including senior colleagues (e.g., the local mayor); sourcing data and information from local and international sources to learn how others had managed tent cities; clarifying how to enact the shared values of dignity and determination – for example, by prohibiting media contact during project completion to respect tent city residents' privacy; committing to an actionable, logical, stepwise plan with contingency actions to meet the specified completion date; and convening regularly for a clear purpose. For instance, in addition to meeting as a collective, members of the project groups also convened in smaller groups to discuss and further the projects.

Volunteer Army

The senior professionals attracted others to their vision. They extended invitations to internal and external colleagues who shared similar interests in social issues, given the remit of their organisation and/or their role within their organisation.

Perhaps the appeal of the invitations was enhanced by the individuals and/or organisations involved in these projects. This is because many members of the project groups had previously collaborated, or their organisations were part of other interagency efforts. This familiarity might have bolstered their comfortability with, and/or confidence in this interagency initiative.

Together, these professionals formed a volunteer army. Although most held paid positions within their organisations, they assumed additional roles within the projects without additional financial gain or resources.

Action

Guided by a coalition of senior professionals within each project group, members of the project groups operationalised their plan to realise their vision. This required a different way of working – one that involved empowering members to identify and proactively address typical barriers to enact both dignity and determination. Some of the barriers included: tent city residents' wariness about engaging with outreach workers; (relatedly) their despair for a better quality of life; as well as securing housing that met each tent city resident's needs. The members' capacity to work differently was aided by: an authorising environment (Moore, 1995), where group members purposely included those with local credibility and/or the authority to make decisions – like resource use – on behalf of

their organisation; a purposeful complement of group members with relevant knowledge, skills, and/or resources; as well as regular information sharing about organisational constraints, client needs, and project progress.

These strategies enabled group members to readily 'understand the vision and want to make it a reality' (Kotter, 2012b, p. 106). This is because the strategies helped to abate the barriers that typically hinder change, like: 'Formal structures [that] make it difficult to act'; 'A lack of needed skills'; 'Personnel and information systems'; and 'Bosses [who] discourage actions aimed at implementing the new vision.

There were no substantiative variations from the project plans, as originally conceived. Such consistency optimised: a shared understanding among the organisations involved; and consistent communication beyond the groups with the tent city residents and the media.

Although their timeframes were fixed, members of the project groups operationalised their plan with some flexibility to accommodate particular situations – for instance, when resources, like housing and staff time, were limited. Conversely, flexibility was also required when resources were forthcoming – for instance, when other organisations offered furniture, blankets, and clothing to the tent city residents, potentially encouraging them to remain within the tent city. Flexibility was also required to accommodate tent city residents' needs and preferences – like when they: did not meet housing eligibility criteria; demonstrated little interest in temporary housing; experienced poor wellbeing; or did not consent to have their personal information shared among the members of the project group. Furthermore, flexibility was demonstrated when members of the project group worked laterally to uphold the values of dignity and determination of the tent city residents. When flexibility was required, minor variations to the project plans were formalised to ensure a shared understanding among the organisations.

Short-Term Wins

Through the course of their regular project meetings, members of the project groups shared their successes. They discussed: the tent city residents who consented to have their personal information shared among the members; the housing they secured; tent city residents' housing outcomes; as well as the tent city residents' improved wellbeing.

Clear evidence of positive change can be incredibly helpful. It can verify the value of one's efforts; it

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can harness the energy and momentum of a collective; and it can sustain the involvement of different people. According to Kotter (2012b, p. 126), a 'good short-term win' is marked by three defining features. First, 'It's visible; large numbers of people can see for themselves whether the result is real or just hype'; second, 'It's unambiguous; there can be little argument over the call; and third, 'It's clearly related to the change effort'. This suggests value in artefacts like 'the traffic light display', which readily communicated the outcomes associated with the two interagency project groups.

Acceleration

As the date to disestablish each tent city loomed closer, members of the project groups intensified their efforts to realise their vision. Such intensity was particularly important because, after supporting some tent city residents into appropriate housing, those who remained typically experienced more complex issues and could not be readily housed. It was at these challenging phases of the projects that the group members rallied together. Perhaps bolstered by their short-term wins, they were collectively able to clarify their final steps to close the tent cities and return the sites to the community. This was aided by: clear planning to ensure complementary roles among group members; the involvement of senior and frontline personnel; and sourcing additional support, as required. The accelerated efforts to disestablish the tent cities reflect Kotter's (2012a) seventh stage of his eight-step model. Specifically, he argued that successful acceleration is denoted by: more change; more help; the active involvement of leaders; the active involvement of subordinates; and the absence of unnecessary interdependencies between different stakeholders (2012b).

Instituting Change

To sustain their vision, members of the project groups introduced strategies, both during and at the completion of the projects. For instance, they incentivised change among the tent city residents by removing attractions to the site, like amenities. They also deterred the re-establishment of a tent city by installing signage and introducing security guards who provided people who were homeless with a service resource card. These visible strategies indicated the behaviours that were (not) acceptable at the two sites to potentially sustain the change, post-project.

DISCUSSION

This article has outlined the reasons for the success of Projects A and B – two interagency collaborations that housed residents of two tent cities and restored the sites to the broader community.

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The professionals involved in the two projects were invited to participate in several rounds of questions to understand: how the projects commenced, participant roles, and the project plans; the project aims and objectives; project values and interagency collaboration; project preparation and the anticipated successes; how challenges were managed, motivation maintained, and the tent cities closed; as well as how the projects were sustained, and the lessons learnt. The findings point to the explanatory value of Kotter's (2012a, 2012b) eight steps to lead change. They also suggest the steps might helpfully inform other interagency efforts to address homelessness.

When examining Projects A and B with reference to Kotter's (2012a, 2012b) eight steps to lead change, the urgency for change becomes apparent – so too does the need to involve the right complement of organisations and professionals within the coalition. The deliberately tight timeframe for both projects propelled expedient change. Some frontline personnel were challenged by this timeframe, as they were required to adapt their client-centred approach by accommodating the project timeframe. The coalition maintained the pace of the project via regular feedback mechanisms to share progress towards outcomes. This was enabled because the coalition only included individuals and organisations that were critical to the realisation of the outcomes. Thus, while myriad government and nongovernment organisations previously had a presence at the two tent cities, the number of organisations invited to the coalition was restricted to those with the necessary expertise, authority, and resources (without role duplication). Given the capacity of both projects to rehouse residents and return the areas to wider community use, these outcomes suggest the right mix of individuals and organisations. However, as relationships within the coalition were largely established, this perhaps facilitated its responsiveness as a collective. It is therefore unclear whether this success could be replicated elsewhere, where there might be fewer organisations, resources, or established relationships to draw on.

Despite the importance of the study findings, four methodological limitations warrant mention. First, not all project members contributed to this study. This was due to several reasons – for instance, some had since vacated their role, and some had limited time to participate, given COVID-19. Although the e-Delphi technique offered convenience and efficiency, many participants were necessarily occupied by the organisational changes associated with COVID-19, as well as the increased demand for services. It is also possible that some members were disenfranchised from the project and therefore

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reluctant to express their views. As such, an interview might have afforded these participants greater privacy and greater participation.

Second, despite the benefits associated with the e-Delphi technique, it does not afford participants the opportunity to discuss, debate, or elaborate on their views. As such, the dataset captured via this method is likely to be incomplete.

Third, the data were collected following the completion of, rather than during Projects A and B. As such, the study relied on project members' recollections, rather than on *in situ* observations of interagency collaboration and governance processes. This is a telling gap given the gravity placed on equal decision-making and dismantling hierarchical impediments in Kotter's (2012a, 2012b) eight steps to lead change. There are several validated instruments an interagency coalition could adopt to appraise members' collective capacity to plan and collaborate. For example, the partnership self-assessment tool (E. S. Weiss, Miller Anderson, & Lasker, 2002) measures the efficiency of a partnership, while the network activities measure (Provan & Milward, 2001) gauges the outputs associated with collaborative effort. According to Kotter, sustaining the momentum for change largely depends on communication and information sharing – thus, the use of these and/or other instruments might help to monitor a coalition's capacity to collaborate and achieve its goal(s).

Fourth, the resource implications associated with Projects A and B were given limited attention in this study – and these might have implications for future efforts to address tent cities. Both projects harnessed existing resources within the participating organisations. Consider, for instance, the frontline personnel who were redirected to engage with the tent city residents, reducing the time they could allocate to their regular caseload. Although social housing was reserved for the tent city residents, these dwellings were allocated from existing properties, as no additional dwellings were sourced specifically for the projects. Thus, the organisations bore some cost to deliver the outcomes associated with interagency collaboration. The extent to which the different organisations were able to absorb this cost remains unknown; also unknown are the direct and indirect implications for the organisations. Research is therefore required to determine: the resources required to achieve project success; the direct and indirect implications; as well as the relationship between organisational resources and project timeframe – this is because the capacity of an organisation to bear the cost might depend on project duration.

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Despite the success of Projects A and B, new tent cities are likely to emerge in the future. This prospect seems inevitable so long as the drivers of homelessness continue. Future endeavours to address the harms associated with tent cities (and chronic homelessness, more generally) might benefit from the findings of this study. In particular, the process of interagency collaboration – as documented with reference to Kotter's (2012a, 2012b) eight steps to lead change – provide some guidance to organisations responding to the emergence of tent cities in their local communities.

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TABLES

Table 1: Project Attributes and Outcomes

		Project A	Project B
Duration	Days	42	83
Tent city residents	Total	21	37
	Consented to participate	18	28
Tent city residents' age	Average (years)	31.5	49.9
Housing outcomes	Social housing through the NSW Department of Family and Community Services Housing	2	3
	Social housing through Wentworth Housing Service	0	12
	Assisted to return to family	3	1
	Private rental	0	2
	Transitional housing through a not-for-profit organisation	2	1
	Temporary housing via a government department	7	1
	Hotel	0	2
	TOTAL	**14**	**22**

Table 2: Aligning Project Processes with Kotter's Eight Steps (2012a)

Kotter's Step	Project Process	Exemplary Quote
1. Urgency	The professionals recognised an urgent need for change regarding the tent city problem, based on concerns for the tent city residents' wellbeing and reports of antisocial behaviour and crime	From having staff in the region… who had the ability to… work closely with homeless clients and involved services… helped highlight the growing issues of homelessness. Also I was informed that many complaints were made to council when homeless clients were congregating and residing in public spaces, and there was a few violent attacks that occurred towards homeless clients in the area… This collection of information, experiences, high TA [temporary housing] numbers and increases of homeless… displayed that the problems of Homelessness in the area was continuing to increase and required a more formal response.
2. Coalition	The professionals built a coalition of influential leaders, capable of activating change	Prior to project commencement. I met with the local Member of Parliament… and CEO of [a not-for-profit organisation]… At this meeting the issue of people sleeping rough [on the site]… was discussed… i outlined a method to address the problem and suggested that the local member initiate convene a cross-agency project to house people sleeping [at the

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		site]… i met with the CEO of [my organisation]… to gain internal support and sponsorship. The first meeting was initiated by the local member… and chaired by him.
3. Strategic vision	The professionals formed a vision to secure long-term housing for the tent city residents and return the sites to local communities	The aim of the project was to find suitable, long term housing for the people sleeping rough in the car park – with the intention of returning the car park back to its intended use i.e. a commuter car park. the data owned by each organised fuelled the knowledge of the group. The information regarding what was happening had a perspective based on the function of the organisation. ie: police function was alerted due to anti social behaviour, robberies and bail compliance. Environmental factors where [*sic*] considered… to move those persons from the area – amenities being closed. Benchmarking regarding the issues that arose when micro communities where moved in other areas such as martin place [*sic*] where [*sic*] reviewed when looking at those organisations that needed to be involved in the project.
4. Volunteer army	The professionals formed working groups of professionals committed to the vision, largely influenced by established relationships, the needs of the project, and the needs of the tent city residents	the committee was formed from contact between Community housing and the… council… Key invites were influenced by community housing who had knowledge of the issues in the region. Many of the members of this group were already working together in a range of other areas so already had a connection/knowledge/ understanding of the issues surrounding the rough sleeping community and the issues associated with the area. At the initial meeting other services were identified through discussion and looking at the needs of the clients.
5. Action	The professionals removed barriers and galvanised enablers by enacting: assertively and persistently engaging with the tent city residents; and positive deviance to innovatively	The working party met weekly, the plan was developed in more detail, members of the project group reported on their activities, mapping of sites was conducted, assertive outreach was conducted on a daily basis and clients were

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	overcome cumbersome bureaucratic processes and secure resources	assisted to apply for social housing, obtain financial support and referred to other appropriate services. This staged approach was utilised as best practice community work has proven to be the most effective way to achieve good outcomes.
6. Short-term wins	The professionals acknowledged short-term wins, including stable housing for, and improved quality of life among the tent city residents	As the facilitator of project group meetings, I encouraged project group members to share information on their agency's progress against the Action Plan, to identify any barriers or challenges and to facilitate discussion amongst the group to resolve. I updated information at each meeting on progress through the traffic light display on the Action Plan. I also facilitated discussion on the case plans, progress and next steps with each client on the Residents Register to encourage coordinated interventions from support and housing agencies aimed at finding a housing and support solution for each person. Update on progress of peopled housed, update on progress plan, general advice.
7. Acceleration	The professionals maintained focus, reinforced consistent messages, bolstered interagency relationships, and highlighted progress	The action was timetabled very early so to give the residents privacy before commuters arrived to park their cars and walk past… [One organisation] turned up very early with support from their managers who stayed in the background so as not to be intrusive. The police were present and also stayed in the background. The Council clean up team were present but in the background. The Council Liaison staff member was present. The Council staff gave residents half hour notice and… staff assisted residents to pack up their gear. There were only two residents still on site. The Council staff delayed the clean up as one of the residents required extra time. The resident had made their own arrangements about where they would go and as she had quite a significant amount of belongings, the Council team went over and above to help transport her

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		belongings and give her a lift there. There were a few people who had stayed over the previous evening to support one of the two remaining residents. They were invited, together with the two remaining residents to a breakfast barbeque next to the car park which was set up… Once the breakfast was underway and there was no one left at the site the Council team commenced the clean up operation. The security firm contracted to Council remained on site after the clean up to provide information on emergency housing and support providers to anyone else who might come to the carpark to set up camp. At the breakfast, the last remaining resident was again offered Temporary Accommodation which he refused at the time but at a later period he accepted and is now housed and has kept his home for over a year.
8. Instituting change	The professionals sustained success by preventing the re-establishment of a tent city, removing facilities and employing security guards	removal of environmental factors that would keep them at area – feeding organisations, electricity and toilet facilities. The carpark amentities [*sic*] where [*sic*] removed initially. Advice was given to the community groups that feed the needy to cease in that area. The enviormental [*sic*] factors where changed so there has been some change for gardens and lighting so that the ground space is not suitable for camping. After the move date there was security presence for some time and compliance regarding not allowing camping in the area.

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How do clinicians' professional bodies use social media to promote interprofessional care? An international study

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How do clinicians' professional bodies use social media to promote interprofessional care? An international study

ABSTRACT: *Health and social care professionals tend to work within homogeneous groups, eschewing the potential of interprofessional care. Professional bodies can set standards and culture within their profession. External communication channels, like social media, provide opportunity to observe how professions wish to be perceived and the practices they advocate. A sample of tweets from 29 professional bodies, representing five professions from six nations, were examined to determine how they used social media to promote interprofessional care (n=1,626). There was little evidence of working together and considerable self-promotion. By promoting interprofessional working, professional bodies might inform and enhance public health. There is thus considerable opportunity for professional bodies to support interprofessional working through social media.*

Keywords: interprofessional care, collaboration, professional bodies, social media, Twitter

Interprofessional care, whereby different professional groups 'work together to positively impact healthcare' (Hastings, Suter, Bloom, & Sharma, 2016, p. 1), represents international best practice (IoM, 2013; WHO, 2013). This follows the associated benefits, including improved: organisational processes; teamwork; job satisfaction; as well as patient care, safety, and wellbeing (Joint Commission, 2016; Leijen-Zeelenberg et al., 2015; Lillebo & Faxvaag, 2015; Martinez, Saef, Paszczuk, & Bhatt-Chugani, 2013; Williams & Sullivan, 2009).

The interprofessional nature of healthcare worldwide has attracted considerable attention during the COVID-19 pandemic, recognising the diverse professions involved in healthcare delivery (Bauchner & Easley, 2020). This is not unexpected given the interprofessional teamworking and collaborative practice required to respond to healthcare needs and mitigate global health crises (IoM, 2015; WHO, 2013).

Despite evidence of what works to promote interprofessional care, like 'a shared purpose; critical reflection; innovation; and leadership' (Hewitt, Sims, & Harris, 2015; Sims, Hewitt, & Harris, 2015a, 2015b), as well as institutional injunctions, there is limited understanding of system factors that foster interprofessional healthcare (Best & Williams, 2019; Reeves, Pelone, Harrison, Goldman, & Zwarenstein, 2017). This might be partly because much research has focused on either healthcare teamwork and associated services, or on university and on-the-job training to enable professionals to work with members of other disciplines. Research is yet to consider other factors that might influence clinician motivation to cooperate across disciplinary boundaries or clinician understanding of how to enact interprofessional practices.

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Accordingly, this study examines how clinicians' professional bodies promote such practices. Specifically, this international study – spanning, Australia, Canada, France, New Zealand, the United Kingdom, and the United States – considers how professional bodies that represent five disciplines with key roles in community-based healthcare – namely, general practice, nursing, pharmacy, physiotherapy, and social work – use social media to encourage members to 'work together to positively impact healthcare' (Hastings et al., 2016, p. 1). This inquiry reflects the ongoing influence of professional bodies on clinicians' frames of reference for their work.

Before presenting the study, this article commences with an overview of interprofessional care, professional bodies, and their use of social media, particularly Twitter. Following this, the article describes the method used to examine professional bodies' use of Twitter, as well as the associated results. The article culminates with key findings and the associated implications for scholars and professional bodies.

Interprofessional care

Interprofessional care entails health and social care professionals who: share a clear commitment to adequately addressing the complexities of patient needs; respect role clarity; are interdependent; and integrate their practices (Reeves, Lewin, Espin, & Zwarenstein, 2010). Similarly, Morgan and colleagues (2015) described interprofessional collaborations as an active and ongoing partnership between professionals from diverse backgrounds, often representing different organisations to provide care that benefits the patient. Ideally, this occurs as a complement of professional expertise with access to resources to address patient interrelated needs in a coordinated way. For instance, nurses might co-develop a care plan with a patient, translate the plans into a sustainable routine, and monitor patient adherence and vitals; pharmacists might alert general practitioners to factors warranting medication adjustments; and social workers might procure assistive equipment to support safe physical rehabilitation at home, as well as social services, such as food or transportation.

Interprofessional teams are critical to the care of patients with complex and chronic conditions, such as congestive heart failure, chronic obstructive pulmonary disease (COPD), heart disease, and cognitive disorders (Abley, Bond, & Robinson, 2011; Nester, 2016). The increasing prevalence of chronic disease, worldwide, make interprofessional teams even more critical (Asrani, Devarbhavi,

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Eaton, & Kamath, 2019; Jeuring et al., 2018; Nichols et al., 2019; Xie et al., 2018).

As important as interprofessional care is for many patients, it does not occur automatically. Different professions typically: 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. 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). Interprofessional teams also typically include multiple professional cultures, habits, and identities that can hinder collaboration (Martin & Rogers, 2004). Interprofessional care therefore requires both systemic and personal commitment (Wells, Chuang, Haynes, Lee, & Bai, 2011). Creating the mechanisms and ethos to support such care has been challenging (Dickinson, 2014).

Overcoming organisational and identity barriers to 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. Practitioners also 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. 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. 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 teams work well when they are co-located, working in close proximity and there is opportunity for frequent, informal communication to support interprofessional collaboration (Seaton, Jones, Johnston, & Francis, 2020). They can also work well when they operate in integrated care arrangements, such as organised networks.

Interprofessional care is universally an essential part of modern healthcare. Previous studies have

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identified the enablers and barriers to the development and implementation of interprofessional care. What is less clear is the role of clinicians' professional bodies in the promotion of interprofessional working.

Professional bodies

Many healthcare 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 normally provide ongoing member education, including that needed to maintain registration and licences, and often have periodicals to advance practice. Additionally, many hold annual meetings and conferences where members establish and nurture relationships with colleagues and learn about developments in their field. Through all these mechanisms, professional bodies can shape members' practice norms and facilitate networking within the membership.

Although professional bodies can promote cooperation with other professions, a study on the websites of 25 professional bodies across five nations found most did not recognise the role of their counterparts (Dadich et al., 2019). This is a notable omission among organisations that aim to improve, if not transform healthcare. Noting the influence of professional bodies among their members, the authors advocated for research to examine how they engage and interact with various stakeholders, both within and beyond their profession, to promote interprofessional care.

Social media

Social media provide an increasingly prominent means for professional bodies to serve their members. According to agenda-setting theory, mass media helps to focus collective attention on particular topics and provide interpretive cues (McCombs & Shaw, 1972). Thus, simply addressing – or not addressing – an issue signals whether a topic warrants attention. The substance and tone of communication might further influence sensemaking, especially about new opportunities and challenges. Professional bodies, such as the Royal College of Nursing in the United Kingdom, reported using social media accounts to share and cascade important information with members and other stakeholders (RCN, 2021). The organisation recognised social media as beneficial to members, playing a fundamental role in campaigns to raise awareness of, and support for organisational priorities. Members were encouraged to incorporate online activity in their continuing professional

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development hours for revalidation and to expand their networks with other nurses and professionals. Similarly, as the American Nurses Association's website noted, 'Social media is now a daily part of all our lives. It can not only be entertaining and informative, but it also has the potential to help your career as a nurse and the nursing profession in general' (ANA Enterprise, n.d., para. 1). Even when the COVID-19 ends, the recent global shift to online communication is likely to increase the prominence of social media.

Among the various social media platforms, Twitter plays a particularly prominent role for healthcare professionals. Twitter allows users to issue short text messages (of up to 280 characters) to others directly (for instance, by replying to a tweet) or indirectly (by mentioning another user or including a hashtag that another user might search for). Other Twitter users can forward (or retweet) messages or might be encouraged to visit a website by accessing embedded hyperlinks. Such flexibility and convenience have attracted increasing users worldwide, recently estimated at 350 million (Dean, 2021). This is notable because research suggests tweets correlate with public opinion (Cody, Reagan, Dodds, & Danforth, 2016).

Because of its accessibility, reach, and low-cost per message, Twitter has advantages for non-profit organisations, like professional bodies, which are usually constrained by a limited marketing budget (Bloom & Novelli, 1981). Twitter, along with other forms of social media, offers non-profit organisations an opportunity to strengthen support for the organisation and its brand (Kanter & Fine, 2010).

Despite opportunities to reach their membership, there is limited research on professional bodies' use of social media. Research has examined the rate of social media adoption and usability from different individual professions (Hazzam & Lahrech, 2018). For example, pharmacists are reported as high users of social media to expand their networks rather than for education or professional development (Alkhateeb, Clauson, & Latif, 2011). A recent study examined social media content to explore public perceptions of interprofessional teams. The authors found that social media can be used to demonstrate the breadth of interprofessional care and highlight the value of less visible professions (El-Awaisi, O'Carroll, Koraysh, Koummich, & Huber, 2020).

Given the importance of interprofessional care and the attendant challenges, this study examined one potentially important normative influence, that being how their professional bodies use social media to

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promote interprofessional care.

METHOD

A sample of tweets was sourced from 30 professional organisations across Australia, Canada, France, New Zealand, the United Kingdom, and the United States (see Table 1). These nations were selected because of their comparable health systems (Schneider, Sarnak, Squires, Shah, & Doty, 2017). The professional bodies included those that represented: general practice, nursing, pharmacy, physiotherapy, and social work. These disciplines were selected because they are represented with primary care – that is, 'integrated, accessible health care services by clinicians who are accountable for addressing a large majority of personal health care needs, developing a sustained partnership with patients, and practicing in the context of family and community' (Donaldson, Yordy, Lohr, & Vanselow, 1996, p. 1).

An iterative approach was used to collect the tweets, as the Twitter developer application programming interface (API) only allows 100 of the most recent tweets to be collected. Using a back-iterative API methodology, the maximum number of tweets was retrieved from the 30 accounts. This culminated with a collection of 118,057 tweets, issued from August 27, 2009, to October 20, 2020.

Insert Table 1

While cleaning the dataset, one Twitter handle – @ANANurses – was removed because its most recent tweet was issued on October 31, 2016. To extend the study timeframe to late 2020, this inactive account was excluded. To optimise comparability among the tweets, those that were issued (or accounts that were active) within the same time range were selected. Because all the accounts issued tweets between December 6, 2018, and October 20, 2020, this time range was selected for analysis. This resulted in a dataset of 56,345 tweets and 29,200 retweets from 29 accounts.

To harness the corpus of data, one percent of tweets from each account was randomly selected for analysis. Because of the varying number of tweets per account (some of which were low), 50 additional tweets were randomly selected from each account and combined with the sample of one percent of all the tweets (see Table 2). The dataset included the issued tweets and various attributes, like its timestamp, retweet count, and favourite count.

Insert Table 2

A spreadsheet was populated with tweets for analysis, including detail on the nation of origin, the

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official Twitter handle of each of the thirty professional bodies, and the language of each tweet. Tweets not in English were removed – consequently, there were 1,626 tweets for analysis. The 280-character limit of each tweet can constrain content (Boot, Tjong, Sang, Dijkstra, & Zwaan, 2019), potentially hindering a full thematic analysis – for this reason, a content analysis was undertaken. Three authors generated five codes in response to the research question and the tweet content – namely: working together, working separately, self-promotion, information sharing, and irrelevant (see Table 3). Each tweet could be coded more than once, if required. To optimise consistency, one author coded the tweets and convened with two authors, weekly, to discuss: how the tweets were coded, why, and how to code those that were somewhat unclear or could be assigned to multiple codes.

Insert Table 3

RESULTS

Of the 1,626 tweets analysed, the greatest proportion was from the United Kingdom (26.0%), while the smallest proportion was issued from France (0.3%), largely because tweets not in English were removed (see Table 4). With reference to discipline, the greatest proportion of tweets was issued by professional bodies that represented general practice (23.5%), while the smallest proportion was issued by those that represented nursing (17.8%). Of the 29 Twitter handles, @theRCN – the official handle of the Royal College of Nursing in the United Kingdom – issued the greatest proportion of tweets (6.7%), while @OrdreInfirmiers and @Ordre_Pharma issued the smallest proportion of tweets (0.0%). As @OrdreInfirmiers and @Ordre_Pharma are the official Twitter handles of professional bodies in France – namely, Ordre National des Infirmiers and Ordre National des Pharmaciens, respectively – this might be attributed to the removal of tweets that were not in English. Over the three-year period of data collection, the greatest proportion of tweets was issued in 2019 (44.2%), while the smallest proportion of tweets was issued in 2018 (22.0%). The most common month tweets were issued was September (13.3%), while the least common month was December (3.6%).

Insert Table 4

Approximately three-quarters of the tweets promoted the professional body that issued the tweet and/or the profession(als) represented by the body (75.9%, see Table 5). These tweets typically advocated the interests of the profession, why it was important, how it contributed to health(care),

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and/or how it could be better supported:

> The Australian Labor Party has responded to each of the AASW s key policy
> areas contained within our Federal Election Policy Platform. Please read it
> here. #auspol Thank you @billshortenmp @ScottMorrisonMP - please
> provide your response https://t.co/T7uwskDUW4 #ausvotes
> https://t.co/2hGR3g5NwO (*@AASW_*).

> Catch up on today s updates for pharmacy with Director for England
> @RSharmaPharma in his latest #Covid19 video: https://t.co/UvOZ3a6GHq
> (*@rpharms*).

> Physical therapy is an important aspect of any healing process and is often
> necessary for veterans suffering from sustained pain or discomfort from a
> service-connected disability. @RepGilCisneros 1/3 (*@APTAtweets*)

The smallest proportion of tweets described separateness between disciplines (0.4%). They elevated a particular profession or professionals without explicitly recognising others:

> PTs and PTAs can play a major role in treatment of lymphedema. This CPG
> by APTA Oncology (@APTAOncology) marks an important addition to the
> establishment of evidence-based practice around the condition.
> https://t.co/m0e7vbeH18 (*@APTAtweets*).

> Thank you to all of our partner organizations for participating in this year s
> Annual General Meeting! This year our meeting is different, but it s still more
> important than ever to gather partner organizations representing social
> workers from coast to coast to coast! ???????? https://t.co/hT4M3S0Znw
> (*@CASW_acts*).

Insert Table 5

A comparison of the disciplines suggested that the professional bodies predominately used Twitter to promote themselves and/or the profession(als) that they supported – this was particularly the case among those that represented pharmacy (see Table 6). Of the tweets issued by professional bodies that

represented pharmacy, close to 85% served to advocate for the profession or pharmacists. Conversely, of the tweets issued by professional bodies that represented social work, under 65% served to advocate for the profession or social workers:

> Join us to discuss supporting provisional registration pharmacists. Understand how your role as a senior pharmacist can help to support in challenging situations and provisional registration requirements. Wed 29 July | 7pm - 8pm Book your place here: https://t.co/CBSL9Ghecf https://t.co/ohD66C4Uxg (*@rpharms*).

> Judges said the winner of the NQSW (Adult) award showed a real dedicated to person centred working and stood out with their tenacity and dedication to social work @socialworkaward #SWA19 (*@BASW_UK*).

Insert Table 6

Irrespective of discipline, the professional bodies were least likely to issue tweets that epitomised working separately or working together. Seldom did they use Twitter to position themselves or the professionals they supported, as distinct from, or in partnership with others:

> Congratulations to @JoTBizMD and @anitafamilydoc on their re-election to the @AmerMedicalAssn Women Physicians Section Governing Council. Share your appreciation for their upcoming work in continuing to represent #FamilyMedicine! https://t.co/l5ILTUDlpx (*@aafp*).

> CNA is seeking an interested member of the #community who is not a nurse or working in any role in the health care sector, to serve as a #public representative on the #board of directors. https://t.co/5WCKnmjgKj (*@canadanurses*).

Of the five disciplines represented in this study, the professional bodies that represented physiotherapy issued the greatest proportion of tweets that espoused collaboration (32.3%, see Table 7). They spoke of working with others – be they other professions, government, or industry. Conversely, the professional bodies that represented pharmacy issued the smallest proportion of tweets that espoused

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collaboration (6.5%):

> Comprehensive bipartisan advocacy in Canberra with Minister Greg Hunt,
> RACGP, Rural Health Alliance and Prof Kerryn Phelps to seek opportunities
> for physiotherapy in #Budget2019 https://t.co/NpSisFrkiH (@*apaphysio*).

> APTA, Other Organizations, Will Share Anti-Opioid Efforts
> https://t.co/QSN3tcxXTQ (@*APTAtweets*).

> Read the amazing open letter from a coalition of over 20 patient, physician,
> and diverse health care groups urging Congress & @WhiteHouse to authorize
> #pharmacist #providerstatus for #COVID19 and influenza testing &
> #vaccinations. Thank you @NatForumHDSP! https://t.co/pakhvXOx8k
> https://t.co/CyUtQRxdAT (@*pharmacists*).

Insert Table 7

Although very few tweets served to elevate or separate a professional body or the profession(als) that it supported, these were solely issued by the professional bodies that represented general practice, physiotherapy, and social work. As such, the professional bodies that represented nursing and pharmacy did not issue these types of tweets:

> Calling on family medicine residents and early career family physicians with
> interests in global health and health equality! Join the Wonca Polaris Pre-
> conference on October 9th, in Albuquerque. https://t.co/WRNpeZ90ER
> (@*FamPhysCan*).

DISCUSSION

Considering the benefits of interprofessional care on employee, patient, and organisational outcomes (Leijen-Zeelenberg et al., 2015), research on how clinicians' professional bodies promote such practices is both relevant and timely, given their important role. Yet this international study suggests that professional bodies across different disciplines and nations largely use Twitter to promote themselves, their profession, and the professionals they support, rather than interprofessional practices. They generally communicated to followers and other stakeholders about activities and

events that did not explicitly espouse interprofessional care. As such, they seldom used this social media platform to raise the profile of interprofessional care.

Relative to their counterparts, the professional bodies that represented physiotherapy issued the greatest proportion of tweets that espoused collaboration with other professions, government, or industry. Why these professional bodies (as opposed to the others) chose to communicate these messages and the associated effects (including the reach of these tweets) are questions that warrant further examination.

Assuming that tweets provide a reasonably accurate picture of organisational interests and activities, this study suggests that collaboration and cooperation between different professional bodies or professions (e.g., joint projects, activities, or events) are somewhat limited. This low level of interprofessional discourse among the professional bodies is reflected in what they communicated (i.e., tweet content), how they communicated (e.g., the use of hashtags), and who (or what) they communicated their messages to (i.e., the use of mentions).

This is not to suggest the professional bodies eschewed interprofessional care. The evidence indicates that they communicated considerable information, which might have had significant reach beyond their respective disciplines. Furthermore, there were very few tweets that explicitly elevated or separated professional bodies and/or the profession(als) they supported. These findings might suggest the professional bodies sought to maintain autonomy – rather than separateness – to demonstrate their relative advantage.

In this era of healthcare reform from highly fragmented to increasingly coordinated care, interprofessional care might be construed as undermining the hierarchy of professional scope and professional boundaries (Bourdieu, 1984). Preserving professional space (Liberati, 2017) might require intense self-promotion and information sharing to maintain some distance between the professions.

Given the role of professional bodies, the findings from this study might be unsurprising. Professional bodies 'advance… the knowledge and practice of [a] profession'(PARN, 2021, para. 1). They: 'define the profession and… represent the interests of their members to the government and community' (University of Sydney, n.d., para. 3). As such, the challenge perhaps is to find ways that helpfully reshape professional demarcations, so they might be more conducive to, and promote interprofessional

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practices.

Despite the importance of this study, four methodological limitations warrant mention. First, as the sample was not representative of all professional bodies or disciplines, there is no claim the findings are generalisable. Second, while the study was international in scope, it was restricted to English tweets from western cultures, potentially biasing the findings (Boscari, Bortolotti, Netland, & Rich, 2018; Rice, Daouk-Öyry, & Hitti, 2021). Analysing data in other languages (e.g., French, Spanish, German, Chinese) and from more diverse cultures (e.g., collectivist culture) would afford a more robust exploration of how professional bodies use social media to promote interprofessional care. Third, because the research design was cross-sectional, change over time was not considered. Although the data collection period spanned three years, there was no longitudinal analysis of these data. As such, a longitudinal research design would afford opportunity to examine when particular tweets or topics were more apparent and whether changes correlated with particular events (e.g., the release of a national report on public health priorities). Finally, while a content analysis of social media clarifies what professional bodies communicated about and how they communicated, it failed to clarify, why? This is likely to require engagement and consultation with representatives of professional bodies.

Despite the aforesaid limitations, the findings have important implications for scholars and representatives of professional bodies. For scholars, there is opportunity to examine: how professional bodies exemplify interprofessional practices; why; and the associated effects for members who deliver health and social care, their patients, and carers. For representatives of professional bodies, there is opportunity to consider how a culture of interprofessional working can be promoted through communication channels, like social media. Although self-promotion is understandable, professional bodies are likely to benefit themselves and others by advocating a broader view.

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TABLES & FIGURES

Table 1: Professional Bodies' Twitter Handles

	Australia	Canada	France	New Zealand	United Kingdom	United States
General Practice	Royal Australian College of General Practitioners	College of Family Physicians Canada	Conseil National de l'Ordre des Médecins	Royal New Zealand College of General Practitioners	Royal College of General Practitioners	American Association of Family Physicians
Handle	@RACGP	@FamPhysCan	@ordre_medecins	@RNZCGP	@rcgp	@aafp
Nursing	Australian College of Nursing	Canadian Nurses Association	Ordre National des Infirmiers	Nurses Society of New Zealand	Royal College of Nursing	American Nurses Association
Handle	@acn_tweet	@canadanurses	@OrdreInfirmiers	@NursesSocietyNZ	@theRCN	@ANANurses
Pharmacy	Australian Pharmaceutical Society	Canadian Pharmacists Association	Ordre National des Pharmaciens	Pharmaceutical Society of New Zealand	Royal Pharmaceutical Society	American Pharmacists Association
Handle	@PSA_National	@CPhAAPhC	@Ordre_Pharma	@PharmSocNZ	@rpharms	@pharmacists
Physiotherapy	Australian Physiotherapy Association	Canadian Physiotherapy Association	Société Francaise de Physiothérapie	Physiotherapy New Zealand	Chartered Society of Physiotherapy	American Physical Therapy Association
Handle	@apaphysio	@PhysioCan	@SFP_Physio	@PhysioNZ	@thecsp	@APTAtweets
Social Work	Australian Association of Social Workers	Canadian Association of Social Work	Association Nationale des Assistants de Service Social	Aotearoa New Zealand Association of Social Workers	British Association of Social Workers	National Association of Social Workers
Handle	@AASW_	@CASW_acts	@AssSociales	@AnzaswCampaign	@BASW_UK	@nasw

Table 2: Tweets Per Handle

Discipline	Twitter Handle	Tweets	Retweets	Total	Analysed (50+1%)
General Practice	@RACGP	4,992	1,389	6,381	100
	@FamPhysCan	1,746	425	2,171	67
	@ordre_medecins	1,651	541	2,192	67
	@RNZCGP	596	253	849	56
	@rcgp	4,396	719	5,115	94
	@aafp	4,897	2,253	7,150	99
Nursing	@acn_tweet	2,614	1,510	4,124	76
	@canadanurses	2,172	1,704	3,876	72
	@OrdreInfirmiers	747	609	1,356	57
	@NursesSocietyNZ	135	307	442	51

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	@theRCN	5,870	1,774	7,644	109
Pharmacy	@PSA_National	763	206	969	58
	@CPhAAPhC	2,090	2,466	4,556	71
	@Ordre_Pharma	925	518	1,443	59
	@PharmSocNZ	25	19	44	25
	@rpharms	2,993	799	3,792	80
	@pharmacists	2,608	921	3,529	76
Physiotherapy	@apaphysio	899	86	985	59
	@PhysioCan	952	327	1,279	60
	@SFP_Physio	217	65	282	52
	@PhysioNZ	142	382	524	51
	@thecsp	1,358	1,664	3,022	64
	@APTAtweets	2,129	2,442	4,571	71
Social Work	@AASW_	1,407	1,407	2,814	64
	@CASW_acts	2,347	1,143	3,490	73
	@AssSociales	365	316	681	54
	@AnzaswCampaign	82	42	124	51
	@BASW_UK	2,547	3,251	5,798	75
	@nasw	4,680	1,662	6,342	97
TOTAL		**56,345**	**29,200**	**85,545**	**1,988**

Table 3: Codes

Code	Description	Example
Information sharing	Content that signposts information about research, policy, practice, and social issues, among other matters	Today is World Elder Abuse Awareness Day #WEAAD. Now in its 15th year, WEAAD raises awareness about elder abuse, neglect & exploitation and reaffirms our society's commitment to the principle of justice for all. Read the #NASW Practice Alert https://t.co/Cy2lAM9Qs9 #socialwork https://t.co/jCu8a4uCxp (*nasw*)
Irrelevant	Content that is unintelligible, solely includes mentions, replies to another tweets, or has no (in)direct relevance to this study	@kathybaker789 She really was! (*acn_tweet*)
Self-promotion	Content that serves to promote the professional body and/or the profession(als) that it supports	Connect with your family medicine peers at the 2019 #AAFPFMX, September 24-28 in Philadelphia. Reserve your spot and register by July 12 to lock in the early bird discount! https://t.co/YtDSJu4SCd https://t.co/Ed1MW6C76r (*aafp*)
Working separately	Content that serves to elevate, if not separate the professional body and/or the profession(als) that it supports	Thank you to all of our partner organizations for participating in this year s Annual General Meeting! This year our meeting is different, but it s still more important than ever to gather partner organizations representing social workers from coast to coast to coast! ????????

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		https://t.co/hT4M3S0Znw (*CASW_acts*)
Working together	Content promoting the value of collaborating with others, be they professionals, clinicians, practitioners, patients, carers, or government representatives, among others	Read the amazing open letter from a coalition of over 20 patient, physician, and diverse health care groups urging Congress & @WhiteHouse to authorize #pharmacist #providerstatus for #COVID19 and influenza testing & #vaccinations. Thank you @NatForumHDSP! https://t.co/pakhvXOx8k https://t.co/CyUtQRxdAT (*pharmacists*)

Table 4: Attributes of Sample Tweets (*n*=1,626)

Attribute		Count	Percent
Nation	Australia	356	21.9
	Canada	266	16.4
	France	5	0.3
	New Zealand	234	14.4
	United Kingdom	422	26.0
	United States	343	21.1
Discipline	General Practice	382	23.5
	Nursing	290	17.8
	Pharmacy	307	18.9
	Physiotherapy	291	17.9
	Social Work	356	21.9
Twitter Handle			
General Practice	@RACGP	100	6.2
	@FamPhysCan	32	2.0
	@ordre_medecins	1	0.1
	@RNZCGP	56	3.4
	@rcgp	94	5.8
	@aafp	99	6.1
Nursing	@acn_tweet	76	4.7
	@canadanurses	54	3.3
	@OrdreInfirmiers	0	0.0.
	@NursesSocietyNZ	51	3.1
	@theRCN	109	6.7
Pharmacy	@PSA_National	58	3.6
	@CPhAAPhC	68	4.2
	@Ordre_Pharma	0	0.0
	@PharmSocNZ	25	1.5
	@rpharms	80	4.9
	@pharmacists	76	4.7
Physiotherapy	@apaphysio	59	3.6
	@PhysioCan	43	2.6
	@SFP_Physio	3	0.2
	@PhysioNZ	51	3.1
	@thecsp	64	3.9
	@APTAtweets	71	4.4
Social Work	@AASW_	63	3.9
	@CASW_acts	69	4.2
	@AssSociales	1	0.1
	@AnzaswCampaign	51	3.1

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	@BASW_UK	75	4.6
	@nasw	97	6.0
Year	2018	358	22.0
	2019	719	44.2
	2020	549	33.7
Month	Jan	97	6.0
	Feb	89	5.5
	Mar	134	8.2
	Apr	134	8.2
	May	132	8.1
	Jun	145	8.9
	Jul	136	8.4
	Aug	170	10.5
	Sep	216	13.3
	Oct	183	11.3
	Nov	132	8.1
	Dec	58	3.6

Table 5: Coded Tweets (*n*=1,626)[1]

Code	Count	Percent
Information sharing	442	27.2
Irrelevant	64	3.9
Self-promotion	1234	75.9
Working separately	6	0.4
Working together	25	1.5

[1] *Totals exceed 100% as some tweets were double coded.*

Table 6: How Disciplines Used Twitter (*n*=1,626)[1]

Discipline	Code	Count	Percent
General Practice	Information sharing	78	18.7
	Irrelevant	15	3.6
	Self-promotion	319	76.3
	Working separately	2	0.5
	Working together	4	1.0
Nursing	Information sharing	80	25.6
	Irrelevant	20	6.4
	Self-promotion	203	65.1
	Working together	9	2.9
Pharmacy	Information sharing	43	12.9
	Irrelevant	8	2.4
	Self-promotion	281	84.1
	Working together	2	0.6
Physiotherapy	Information sharing	93	28.5
	Irrelevant	5	1.5
	Self-promotion	216	66.3
	Working separately	2	0.6
	Working together	10	3.1
Social Work	Information sharing	115	30.2
	Irrelevant	16	4.2
	Self-promotion	242	63.5
	Working separately	2	0.5
	Working together	6	1.6

[1] *Totals exceed 100% as some tweets were double coded.*

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Table 7: Coded Tweets (*n*=1,626)[1]

Code	Discipline	Count	Percent
Information sharing	General Practice	78	19.1
	Nursing	80	19.6
	Pharmacy	43	10.5
	Physiotherapy	93	22.7
	Social Work	115	28.1
Self-promotion	General Practice	319	25.3
	Nursing	203	16.1
	Pharmacy	281	22.3
	Physiotherapy	216	17.1
	Social Work	242	19.2
Working separately	General Practice	2	33.3
	Physiotherapy	2	33.3
	Social Work	2	33.3
Working together	General Practice	4	12.9
	Nursing	9	29.0
	Pharmacy	2	6.5
	Physiotherapy	10	32.3
	Social Work	6	19.4

[1] *Totals exceed 100% as some tweets were double coded.*

Has COVID-19 Made SMEs More Open to ICT Adoption?
Insights from the Philippines

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Has COVID-19 Made SMEs More Open to ICT Adoption?
Insights from the Philippines

ABSTRACT: *The purpose of this study was to explore whether the ongoing COVID-19 pandemic has influenced SMEs to adopt relevant information and communication technologies (ICTs). Employing interviews for data collection, this study analysed the factors that influence Philippine SMEs to adopt ICTs in the midst of the ongoing COVID-19 pandemic. We extend the TOE (Technology, Organisation and Environment) model to explore factors and their dynamics to ICT adoption amidst the global health crisis. Findings reveal that COVID-19 has made SMEs more open to adopt ICTs. Further, ICT adoption in Philippine SMEs is influenced by perceived utility of ICTs in managing the risk of COVID-19, awareness on the benefits of ICTs, availability and reliability of IT infrastructure, role of external change agents, social pressure, and market forces.*

Keywords: SMEs, ICT adoption, COVID-19, Philippines

BACKGROUND

The ongoing COVID-19 pandemic has resulted in a global health crisis, which is greatly impacting people's lives, debilitating economies and disrupting many industries (Apedo-Amah et al., 2020; International Monetary Fund, 2020). Amongst the sectors that were hardest hit by the fallout of the pandemic are small- and medium-sized enterprises or SMEs, which account for 70 percent of the global workforce and 50 percent of the world's gross domestic product (International Labour Organization, 2020). This global health crisis comes at a time when the world is witnessing a digital revolution in business and society resulting from the proliferation of information and communications technologies (ICTs) (Martin, 2018). Interestingly, ICTs proved to be a viable option to enable continuity of services in the Philippine hospitality-sector SMEs investigated, despite the various public health measures imposed by different health and government authorities, which have restricted people from utilising many in-person services around the world (World Health Organization, 2020).

ICTs are broadly defined as any of the various forms of information technology (IT) that facilitate the exchange of communication by the storage, processing and transmission of data (Rini, Hartoyo, Heny, & Bustanil, 2016). SMEs have adopted ICTs for their operations even before the onslaught of the pandemic, albeit in various forms and sophistication across different countries and

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industries (Mbuyisa & Leonard, 2017; Napitupulu, Syafrullah, Rahim, Abdullah, & Setiawan, 2018; Rahayu & Day, 2017). In recent years IT has been integrated with communication through the use of electronic mail or email, instant messaging, video call, video conferencing, and social media. With the introduction of cloud computing, especially as it is used in business, and the proliferation of smart devices with which IT can be integrated such as smartphones, electronic tablets and even smart vehicles and home automation technologies, ICTs have become the single most common approach for SMEs to improve productivity (Giotopoulos, Kontolaimou, Korra, & Tsakanikas, 2017).

Research Aim

The purpose of this study was to explore whether the COVID-19 pandemic has influenced SMEs to adopt ICTs to allow their businesses to continue operations and without which they may have been forced to shut down because of government-enforced lockdowns and other restrictions. The study examined how the pandemic served as an impetus for ICT adoption amongst SMEs, a sector in which most firms are already constrained by factors related to their size and reach.

Research Questions

The study examined the perceptions of SME development practitioners in relation to the impacts of the COVID-19 pandemic to SMEs. The interpretivist methodological approach adopted allowed the participants to enunciate their own experiences. The participant interpretation was guided by the following research questions (RQs) which provided the framework for this study:

RQ1. Has the COVID-19 pandemic made SMEs more open to adopt ICTs for their operations?

RQ2. How can SMEs be encouraged to adopt ICTs to better prepare, and manage business risks of pandemics (like COVID-19)?

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LITERATURE REVIEW

Small and Medium Enterprises (SME): Heterogeneous Definitions

There is no common definition of what constitutes an *SME* though various thresholds were set by governments around the world to categorise the sector and these categorisations were based on employment and income size as well as balance sheet and fixed asset thresholds (United Nations Economic Commission for Africa, 2018; World Trade Organization, 2016). In some cases the less common term *MSME* is adopted to spotlight on the micro firms (World Trade Organization, 2016), although this acronym is considered merely 'fashionable' (United Nations Economic Commission for Africa, 2018, p. 14) and can be interchanged with *SME* (United Nations Economic Commission for Africa, 2018). For this study, the more universal term *SME* will be adopted, and its definition shall include the micros and SMEs based on the standards adopted in the country where they operate. In the Philippines, for instance, SMEs are defined based on asset and employment sizes. Table 1 presents these SME definitions as set forth in prevailing Philippine laws (see below).

Insert Table 1 about here

Notwithstanding the benefits ICT can bring to small businesses, SMEs, particularly those in the developing world, have been regarded as slow adopters of new technologies, including ICTs (Jaganathan, Ahmad, Ishak, Mohd Nafi, & Uthamaputhran, 2018). Some constraints have been cited for their failure to realise the potentials of these technologies such as lack of finance, poor infrastructure, inadequate skills, absence of enabling policies and laws, as well as inability to take advantage of globalisation especially with respect to accessing new markets both domestic and international (Mbuyisa & Leonard, 2017). These constraints have resulted in the underwhelming reception toward ICTs by SMEs unlike their large counterparts (Jaganathan et al., 2018).

Nonetheless, the ongoing COVID-19 pandemic has made some SMEs realise the benefits of ICTs, which previously were not considered a priority until this global health emergency crisis (Gregurec, Tomičić Furjan, & Tomičić-Pupek, 2021). In this instance, ICTs have proved to be an

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expedient means to avert permanent business closures by allowing the continuity of services despite the various public health safety protocols being enforced by government and health authorities, which restricted the mobility of people and delivery of close-contact services (World Health Organization, 2020).

Technology Adoption Models in SMEs

While investigating various factors determining the adoption of ICTs in the business operation of SMEs, several authors have utilised technology adoption theoretical models like the Technology Acceptance Model (TAM), which analyses technology adoption at the user or individual level (Kumar, Samalia, & Verma, 2017). It specifically zeroes in on the constructs of perceived usefulness and perceived ease of use, which are deemed as the main determinants of technology adoption (Davis, Bagozzi, & Warshaw, 1989; Kumar et al., 2017). A somewhat related concept, the Theory of Planned Behaviour (TPB), which was originally proposed by Ajzen (1985, 1991), relates one's beliefs, attitudes, perceptions or state of mind with one's intention and behaviour (Ajzen, 1985, 1991; Sharifonnasabia, Raj, & Marsukia, 2018). The pertinent constructs that lead toward the intention or behaviour are attitude, subjective norm and perceived behavioural control (Ajzen, 1985, 1991).

Whilst TAM and TPB focus on the technology adoption factors at the individual level, the technology, organisation and environment (TOE) model by Tornatzky, Fleischer and Chakrabarti (1990) studies the technological, organisational and environmental factors to predict technology adoption at the *firm* level (Chandra & Kumar, 2018). Although it has gone through several modifications (H. O. Awa, Ukoha, & Emecheta, 2016), the original, classic version of TOE zeroes in on the technological determinants such as the availability and characteristics of the technology; organisational determinants such as formal and informal linkages, firm size, communication processes and activity within the firm; as well as environmental determinants such as characteristics of the industry, market forces, infrastructure, external support, and government policies and regulation (Tornatzky et al., 1990).

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This study analysed the factors that influence Philippine SMEs to adopt ICTs in the midst of the ongoing COVID-19 pandemic. In studying these factors and their dynamics in relation to ICT adoption and the global health crisis, the TOE model was adopted to aid in classifying these specific factors. Although Awa, Eze, Urieto and Inyang (2011) criticise the TOE model for its concepts that are more suited to large firms, other authors such as Wen and Chen (2010) are more favourable toward the framework because it is more holistic and more applicable to different firm sizes across various industries compared to other frameworks used for studying technology adoption in enterprises. Empirically, the dynamics observed amongst the variables in the TOE model have also been tested with various forms of technology (H. O. Awa et al., 2016).

METHODOLOGY

Research Design

The objective of this research was to understand ICT adoption views in SME during a globally disruptive event, in this case the COVID-19 pandemic. The research paradigm of this study followed a phenomenological interpretivist approach, where the methodology was carried out using an inductive approach through a series of unstructured and semi-structured interviews. The researcher and the interviewees, who both participated in the investigative process, influence the outcome of the research, which therefore can change over time.

Research Sample

Creswell (2018) recommends a sample size of 5 to 25 participants for qualitative research like phenomenological studies. This indicative sample size is helpful to reach saturation, where the codes and the code structure are considered finalised and therefore no new concepts emerge from the most recent interviews (Bradley, Curry, & Devers, 2007). The participants for this research were selected through purposeful sampling. The snowball technique was also adopted in order to reach the final total of 10 key participants in this research.

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Study Participants

The study participants were comprised of 10 senior executives (5 representatives each) from the government and the private sector, who have extensive knowledge and experiences in assisting and developing SMEs in various capacities whether in business, government or non-government sector, or through academic research in the Philippines. The following were used as the participant selection criteria: (1) they should have not less than 10 years of experience in assisting or developing SMEs in whatever capacity, and (2) they should have introduced ICTs in whatever form to improve the business operations of SMEs. The profile of the participants is presented below (see Table 2).

Insert Table 2 about here

Data Collection

Since strict public health protocols were still in force at the time of the production of this research, the interviews were limited to video conferencing via Zoom, email correspondence, and instant messaging via Facebook. The choice of communication platform for the interviews was left to the participants, taking into consideration the IT resources available to them as well as the reliability of the internet connection available in their locality. All the interviewees preferred the meetings to be done via Zoom except for one, who had unreliable internet service due to the recent onslaughts of typhoons and thus opted to participate in the interviews via email and instant messaging. The close-to-one-hour interviews were done in two batches. The first six participants were interviewed between March and April 2020 whilst the interviews for the second batch of four more participants were conducted between November and December of the same year after ethics approvals for the second round were received.

Data Analysis

The interviews were transcribed digitally and processed through the qualitative data analysis software NVivo. Qualitative data from the transcripts were coded and analysed to form themes exploring the research questions. A total of 15 codes were identified from themes that emerged from

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the interview transcripts. The themes were later analysed using the TOE theoretical framework. The analytical framework adopted in this research is shown in Figure 1 (see below).

Insert Figure 1 about here

THEMATIC ANALYSIS

The 15 codes can be further grouped into two categories based on the sectors where the participants belong: government and the private sector. Some of these codes were repeating across the two categories, generating a total of 25 codes identified from all the interview transcripts. A thematic analysis of the codes resulted in the identification of six major themes: perceived utility of ICT in adapting to COVID-19, availability and reliability of IT infrastructure, the role of external change agents, social pressure amongst peers, market forces, and awareness on the benefits of ICTs. Table 3 shows the matrix of the appurtenant categories, themes and the representative quotes supporting the analysis (see Table 3 below).

Insert Table 3 about here

Findings: ICT Adoption in SMEs During COVID-19 Pandemic (Government Sector Perspective)

Four themes emerged from the participants from the government sector: availability and reliability of IT infrastructure, role of external change agents, market forces, and perceived utility of ICTs in adapting to COVID-19. Figure 2 shows the emergent themes as well as the connecting codes from the government sector. The plain description of each theme as well as the codes supporting it follows in the next paragraphs below.

Insert Figure 2 about here

The theme 'availability and reliability of IT infrastructure' was developed from the identified codes 'cost of electricity' and 'expansive internet system'. The Philippines has one of the most expensive electricity costs in the Southeast Asian region. Even if some SMEs may need to maintain servers for their businesses, they opt not to because they will consume constant electricity. Meanwhile,

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the national government of the Philippines is now encouraging landowners to allow the construction of cell sites in their properties to improve the quality of internet connectivity in the country.

'Role of external change agents' was an emergent theme that came from the codes 'financial incentives' and 'technical assistance'. Financial incentives, which can be in the form of loans and grants, can influence SMEs to adopt ICTs. However, for financial incentives to be a strong influencer, fines and penalties must also be imposed to those who will violate policies providing financial incentives to the sector. Meanwhile, technical assistance can go hand in hand with financial incentives to push more SMEs to use ICTs for their operations. These can be in the form of consultancy services or the provision of machines and equipment to the sector. As in the case of financial incentives, fines and penalties may also be imposed to those who will fail to provide technical assistance to the sector under a new policy or legislation.

'Market forces' was another theme that emerged from the government sector as far as ICT adoption of Philippine SMEs amidst the COVID-19 pandemic was concerned. The theme arose from the codes 'steady market' and 'networking'. A steady and reliable market will almost certainly ensure continuous operation amongst SMEs even amidst the threat of COVID-19. Meanwhile, cooperation or linkage would enable SMEs to reach the market they would not have been able to reach were they merely selling alone. SMEs that have been impacted by COVID-19 can therefore rely on their networks or business linkages to minimise the effects of the pandemic. The additional resources of their strategic partners or networks can insulate them from further losses and expand their reach.

'Perceived utility of ICTs in adapting to COVID-19' was another theme that emerged from the interview data of the government sector. This was supported by the assigned code 'business continuity'. ICTs enabled many businesses, including those in the hospitality industry, to shift their brick-and-mortar operations to purely online distribution amidst the pandemic, which would have shut down their trading completely.

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Findings: ICT Adoption in SMEs During COVID-19 Pandemic (Private Sector Perspective)

Besides similar themes from the government such as the role of external change agents, availability and reliability of IT infrastructure, and perceived utility of ICTs for adapting to COVID-19, other themes that emerged from the private sector responses were: awareness on the benefits of ICTs, and social pressure. Figure 3 shows the emergent themes as well as the relevant codes from the private sector.

Insert Figure 3 about here

Testimonials and success stories which may be found on traditional and social media and which highlight the use of ICTs to prepare and protect SMEs from the impacts of COVID-19 could influence them to adopt the technology. The intense advertising of some Southeast Asian-focused electronic commerce or e-commerce sites contributed to the awareness of some SMEs to use these platforms to sell online during lockdowns, community quarantines and social distancing protocols imposed by government authorities whilst the pandemic was ongoing. The proliferation of locally based digital payment channels and delivery services, which completed the ecosystem for making buyer and seller transactions purely online, also added to this awareness.

The role of external change agents likewise emerged as a theme from the interview data of the participants from the private sector. But unlike the data taken from their counterparts from the government, where financial incentives and technical assistance emerged as the supporting codes, the role of external change agents as far as the interview participants from the private sector were concerned was related to training and mentorship. Meanwhile, as regards the availability and reliability of IT infrastructure as far as the interview participants from the private sector are concerned, poor internet connectivity is still a major issue in many regions in the Philippines.

Perceived utility of ICTs for adapting to COVID-19 likewise emerged as a theme from the qualitative data extracted from the interviews involving the participants from the private sector.

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Unlike the data from the interviews of the participants from the government, additional codes emerged from the group from the private sector. These additional themes were: work from home; curation of information; e-commerce; source of information; and virtual transactions. ICT-enabled SMEs are most likely to survive and recover from the pandemic since ICT allows them to work from home. Further, ICTs can help prepare and protect SMEs from the impacts of COVID-19 by assisting them to curate the information they need. Meanwhile, proliferation of regional e-commerce marketplaces such *Shopee* or *Lazada* as well as the prevalence of more local couriers such as *Grab* and *Lalamove*, which have also made their services available through apps, have made selling online easier for SMEs now. They have learned that the internet has now become the primary source of practical information on how to better manage their enterprises.

Finally, the influence of social pressure was likewise highlighted in the interviews. Peers who, having adjusted to and having accepted the change brought about by the pandemic, become exemplars for other SMEs that also need to adapt and are learning to adjust to the 'new normal'. SMEs are therefore 'forced' to embrace ICTs because of its widespread use and ease of access amongst their consumers or buyers.

DISCUSSION

Based on the qualitative analysis of participant responses, this section summarises findings of our research questions:

RQ1. Has the COVID-19 pandemic made SMEs more open to adopt ICT for their operations?

We find that COVID-19 has very likely influenced SMEs to adopt ICT for their business and has made SMEs more open to adopt technology for managing the business risk of COVID-19. A successful ICT adoption by SMEs also depends on how the COVID-19 pandemic, which is an extraneous factor, interplays with the technological and organisational factors such as the availability and reliability of IT infrastructure in the locality of the business as well as the organisation's perception on the usefulness of the technology to combat the ill-effects of the pandemic.

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RQ2. How can SMEs be encouraged to adopt ICT to better prepare, and manage the business risk of pandemics like COVID-19?

We find external change agents such as the government and non-government organisations assisting the SME sector have a significant role to play in encouraging more SMEs to adopt ICTs so they can better prepare and be better protected from the impact of pandemics like COVID-19. The government as the lead agent can invest in IT facilities which the private sector may not have the capability of providing. Prior studies have also noted the importance of the role of government in the development of SMEs to spur national economic growth especially in the developing world (Napitupulu et al., 2018; Rahayu & Day, 2017; Vodanovich & Urquhart, 2017). In addition to the government, we find other change agents can also contribute to ICT adoption by SMEs, which have been impacted by COVID-19. For example, assistance can come in the form of financial aid, technical training, consultancy and provision of IT resources.

Findings of this study contributes to the literature on technology adoption by adapting the TOE framework in the context of Philippine SMEs. We find that the understanding of the interplay of the technological, organisational and environmental factors can help inform decisions, policies and programs that will encourage SMEs to adopt ICTs to better prepared, and to better manage the business risk of pandemics like COVID-19. For example, the major role of external change agents as earlier explained can have a great impact in raising the awareness on the benefits of ICT adoption through training and education, which eventually can increase the perceived utility of the technology in adapting to COVID-19 by SME organisations. (See Figure 4 for the graphical representation of the interplay of factors based on the TOE model which influence ICT adoption of SMEs to cope with COVID-19.)

Insert Figure 4 about here

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CONCLUSION

This study finds that the COVID-19 pandemic, which has already debilitated economies and wiped out many organizations across the world, has made SMEs more open to adopt ICTs. This study reveals major factors for successful ICT adoption amongst SMEs to better prepare and protect them from the impacts of pandemics like COVID-19. These factors are: perceived utility of ICTs in managing the business risk of COVID-19; awareness on the benefits of ICTs; availability and reliability of IT infrastructure; role of external change agents; social pressure; and market forces.

This study has important implications for both theory and practice. From the theoretical perspective, this study extends our knowledge of the TOE model and the extant literature on ICT adoption by SMEs. More specifically, it enhances our understanding of the various contexts associated with the TOE model and their interplay with one another in the midst of a global health emergency crisis like the COVID-19 pandemic. Further, this study was able to expand our knowledge about the SMEs' perceived utility of ICTs in relation to the crisis. That is, in the midst of a pandemic, the perceived benefit of using ICTs transforms into one that enables the SME to adapt to COVID-19, and this per se becomes one of the critical factors for adopting ICTs.

Lastly, from the practice and policy point of view, this research has implications for SME policy makers and ICT service provider organizations. It is incumbent for policy makers to craft policies that will ensure an enabling environment that motivates more SMEs to adopt ICTs and provide the continuity of ICT-enabled services even amidst business disruptions due to the COVID-19 pandemic. Meanwhile, ICT service provider organizations can fine-tune their service offerings and provide specific or customised features of their software or programs to enable a seamless digitalisation of most brick-and-mortar operations of SMEs so they can continue to operate during quarantines, lockdowns and strict public health protocols imposed by government and health authorities

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ACKNOWLEDGEMENTS

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TABLES AND FIGURES

Table 1

Category	Value of Assets*	Number of Workers
micro	< PhP 3 million	1 to 9 workers
small	PhP 3,000,001 to 15 million	10 to 99 workers
medium	PhP 15,000,001 to 100 million	100 to 199 workers

SME Definitions in the Philippines
Note. Assets include properties acquired from loans but excludes the land on which the SME's office, factory or machines are situated.
Sources: Republic Act No. 6977 (Congress of the Philippines, 2008) as amended; and SME Development Council Resolution No. 1, series of 2003 (Micro Small and Medium Enterprise Development Council, 2003), dated 16 January 2003

Table 2

Profile of the Interview Participants

Participant ID	Position	Sector	Organisation
GOV1	Senior Staff	Government	State-run Agency
GOV2	Senior Staff	Government	State-run Agency
GOV3	Faculty	Academe/Government	State University
GOV4	Faculty	Academe/Government	State University
GOV5	Director	Government	State-run Agency
PVT6	Business Owner	Private Sector	IT Company
PVT7	Board Member	Private Sector	Nongovernment Organisation
PVT8	Board Member	Private Sector	SME Peak Body
PVT9	Angelpreneur	Private Sector	Nongovernment Organisation
PVT10	Consultant	Private Sector	Nongovernment Organisation

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Table 3

Categories, Themes and Representative Quotes

Category	Theme	Number of Codes	Representative Quotes
Government	Availability and Reliability of IT Infrastructure	3	*A steady, reliable and fast internet connection would encourage SMEs to use IT in their business. [GOV1]*
	Role of External Change Agents	2	*Financial incentives and technical assistance to help MSMEs should be integrated too, along with the formulation of penal provisions for violators. [GOV3]*
	Market Forces	2	*A steady reliable market would ensure [SMEs] of income despite the pandemic. Cooperation or linkage would enable them to reach the market they won't reach if just selling alone. [GOV1]*
	Perceived Utility in Adapting to COVID-19	3	*Enterprises that do a lot of retail— for example, travel agencies—can protect themselves from future pandemics by allocating more resources online. [GOV3]*
Private Sector	Awareness on the Benefits of ICT	1	*Testimonials for [other SMEs] and success stories will serve as inspiration. [PVT9]*
	Role of External Change Agents	3	*Equipped with a new learning paradigms, the SME serving institutes can introduce new courses that help the entrepreneurs…. [PVT10]*
	Availability and Reliability of IT Infrastructure	1	*The only problem we have with digitalisation is the poor connectivity…. But as far as the local government units are concerned, they are working very hard to improve the connectivity because they know that the businesses are running because of this internet and digitalisation. [PVT8]*
	Perceived Utility of ICT in Adapting to COVID-19	9	*So everything that you can use, all the tools that can help you, all the things that can help you promote your business online or make your operations online or all your transactions with your client online [make] what's happening right now… [the] best time to push you or to make you adopt [ICTs], digitally transforming your company. [PVT6]*
	Social Pressure	1	*SMEs' peers who are adjusting and have accepted the change also serve as examples for them to adapt as well. [PVT9]*
TOTAL		25	

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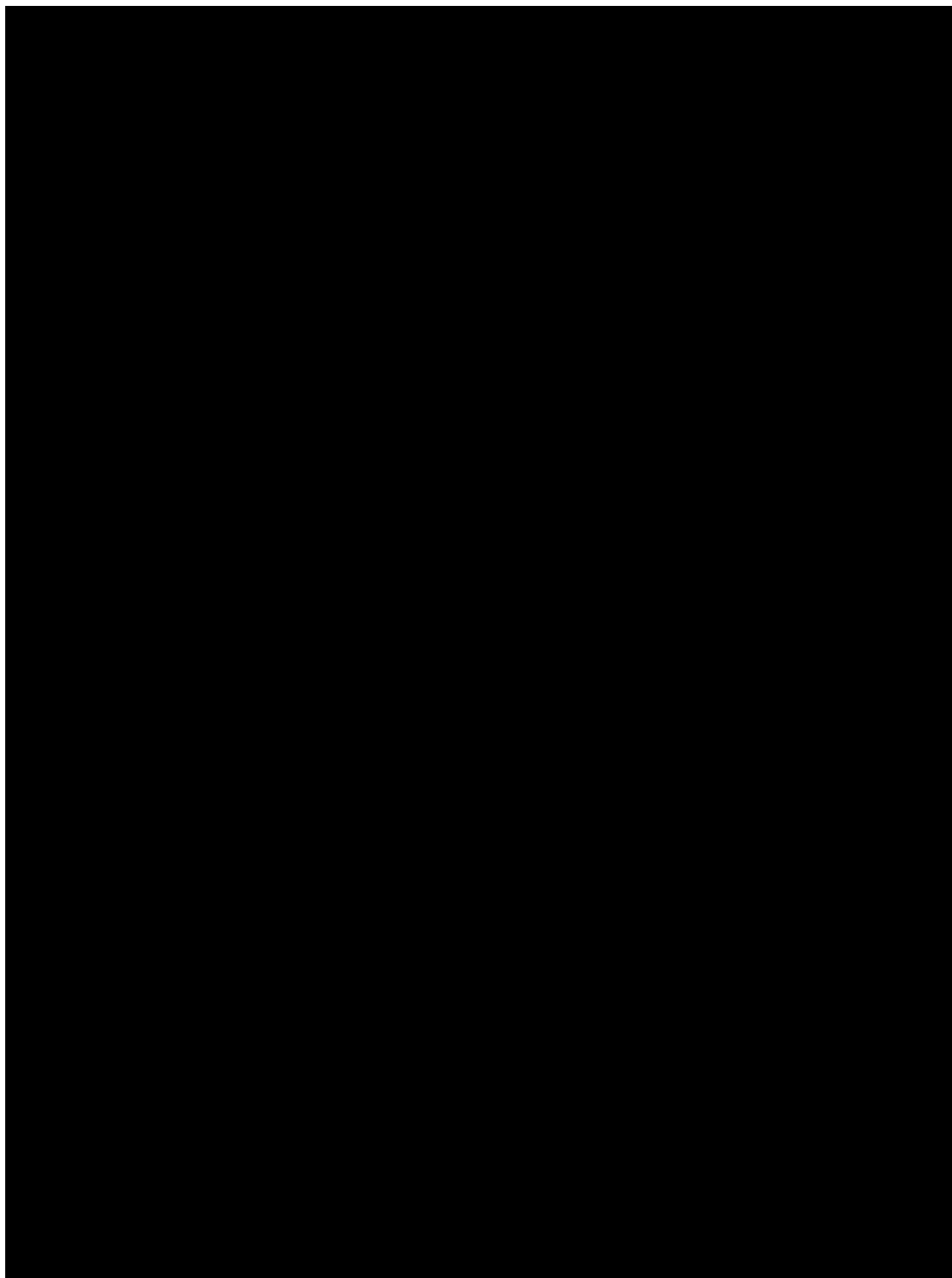
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Figure 3: Emergent themes on ICT adoption in Philippine SMEs from the private sector perspective.

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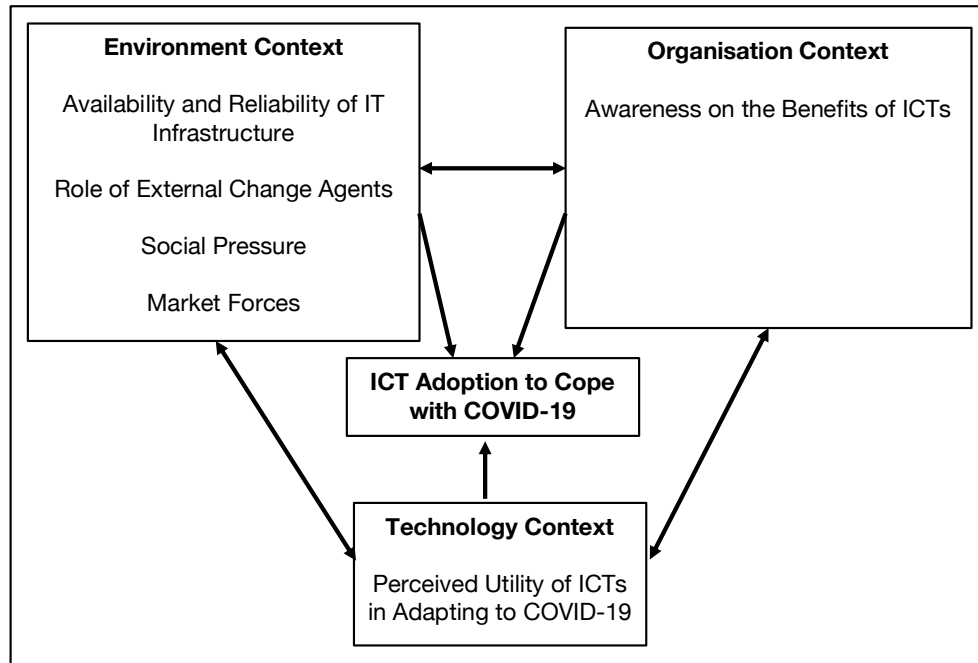
Figure 4: Interplay of factors based on the TOE model which influence ICT adoption of SMEs to cope with COVID-19.

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8. Business Processes, Innovation and Supply Chain

The transition from conventional to sustainable process: The perspective of Chinese Textile and Apparel manufacturers

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8. Business Processes, Innovation and Supply Chain

The transition from conventional to sustainable process: The perspective of Chinese Textile and Apparel manufacturers

Abstract

Today, China is the largest clothing producer with the largest capacity in the global markets. However, China also faces unprecedented challenges with respect to intensive pollution and human rights compliance, both key to sustainable manufacturing. Providentially, many Chinese textile and apparel participants accept the fact that the transition from conventional to sustainable manufacturing is inevitable and desirable. However, the transformation is a systematic and complex process that requires managing economic, social and environmental impacts throughout the supply chain. This study aims to provide insights into the transition processes among Chinese textile and apparel manufacturers and whether the model of perpetual transition management fits as a change mechanism in the context of that sector.

Keywords: transition management, perpetual transition management, sustainable production, textile and apparel, supply chain, China

Introduction

The Chinses textile and apparel industry (TAI) started to prevail after the financial reform in 1979 (McCann, 2011). Over several decades of development, it has become one of China's pillar industries and has also gained a significant position in the global market with considerable output. However, the industry also faces comprehensive ecological pollution, high carbon emissions and perceived low social contributions (Yang & Ha-Brookshire, 2019). Numerous Chinese textile and apparel manufacturers realise transition towards sustainability is inevitable and have begun to redesign the existing business practices and models, giving more thought to environmental and social responsibilities. However, managing the transition from conventional to sustainable production in the TAI in China is a complex, integrated and co-ordinated undertaking requiring attention to economic, social and ecological dimensions. Hence, determing and understanding the driving factors involved in this transition and how it is managed is important.

Buchanan and McCalman (1989) presented the perpetual transition management (PTM) model to measure the ultimate organisational transformations. It provides the framework for businesses in organising transitions at any given industry and sector. The model from a systematic perspective guides organisations in effectively transforming to sustainability (Rauschmayer et al., 2015).

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Therefore, it is argued in this paper that the PTM Model provides a sound framework to examine the changes in the Chinese TAI. Using this approach, this research generated a modified PTM model that better suited this industry and potentially can be adapted by others.

BACKGROUND

The traditional textile and apparel industry (TAI) includes cotton farmers, fibre manufacturers, yarn producers, fabric finishers, garment designers, manufacturers, distributors, wholesalers, and retail stores (Curwen, 2012). There are adverse environmental and social impacts present at each stage of production is shown in *figure 1*, and these are the sources of market pressure to change.

Challenges of the industry

Presently, China is the largest producer in the global textile and apparel sector. However, it faces economic, social and environmental challenges from numerous stakeholders. The Chinese government has introduced a considerable number of regulations and acts to lower the social and ecological impacts (Chi, 2011). It gives the textile and apparel manufacturers no choice but to seek energy efficiency and carbon emission reduction (Shen et al., 2017).

Global transparency of supply chains urges that Chinese TAI participants align themselves with the goals and sometimes also the processes of their international competitors. They are pressured by their global environment, which it is necessary therefore to examine.

The Chinese government recognised international trends and standards and has launched minimum wages standards and the new labour laws to ensure the rights of workers in China (Harpur, 2011). It is an excellent incentive to promote corporate social responsibility (CSR) initiatives (Chung, 2011). Partly as a result, costs of labour have increased dramatically, including in the textile and apparel sector (Shen et al., 2017).

Desore and Narula (2018) reported that non-government organisations (NGOs) significantly influenced the social and environmental responsibilities in developed nations. However, the impact of

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NGOs in China has been limited because of the unique political form (Zhang, 2014). Nevertheless, Friedman (2015) found that the Natural Resources Defence Council, an NGO, achieved positive outcomes when promoting energy and water reduction programmes to individual manufacturers in China.

Moreover, the EU launched various standards and regulations that aimed to reduce the environmental and social impacts of the imported goods. It puts substantial weight on the Chinese textile and apparel exporters (Chi, 2011). Similarly, the United States has conducted regular periodical reviews on importers' performance in social and environmental settings (Choi & Li, 2015). Most importantly, the customers in EU and U.S. urged Chinese textile and apparel manufacturers to transit to sustainable production and meet compliance requirements (Koksal et al., 2017).

Australia, the fifth most prominent textile and apparel trading partner with China (WITS, 2020) has put a focus on more vital sustainability awareness. Australian consumers and its associated markets also play a significant role in fostering Chinese textile and apparel manufacturers to transit towards sustainability.

Unavoidable transition to sustainable production

In responding to the above challenges, an increasing number of textile and apparel manufactures in China have adopted various sustainable technologies to differentiate their products from others and gain competitive advantage (Ho & Choi, 2012). Many local manufacturers started to transit from conventional to sustainable production through re-modelling and re-structuring (Choi & Li, 2015). This drove the fixed and variable costs up (Desore & Narula, 2018), but could be offset by efficiently consuming energy and other raw materials (Ho and Choi, 2012). In the long term, industry integration and collaborations tended to balance out the initial sustainable investment further (Oelze,2017).

Koksal et al. (2019) suggested that Chinese textile and apparel businesses must transform from traditional production to sustainable production to accommodate the requirements of numerous stakeholders. Hence, the shift is perceived as unavoidable, and the textile and apparel manufacturers

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must act as early as possible to survive in the market. They are, therefore, strongly focused on the transition process.

Transition management

Transition management as an approach that offers businesses an opportunity to transform conceptional theories and strategies into practical and proactive actions and shift the market towards sustainability (Loorbach & Wijsman , 2013). Transition management provides a framework for selecting partners, instruments and related actions, and understanding the possibilities of various roles and influences within the company when transition occurs. It also assists in an environment of gradual change while allowing ongoing businesses to run as normal (Loorbach & Wijsman, 2013), thus minimising negative impacts on businesses during those changes.

Perpetual transition management (PTM) model

The PTM model as a part of the transition management paradigm was initially suggested by Buchanan and McCalman to measure large-scale organisational change from internal, external and proactive perspectives (McCalman et al., 2016). Four layers, the trigger, the vision, the conversion, and the maintenance and renewal layer, constitute the model, as shown in *figure 2*.

In the PTM context, a "layer" is a set of processes that organisations need to design and accomplish during the transition. The actions and goals of the *trigger layer* are to discover the drivers that lead to transition. Full understanding of the reasons for change is critical at this stage. The *vision layer* focuses on aligning the upcoming transformation to the missions and visions of the enterprises and further defines the challenges and opportunities that may occur during the transition. Actions in the *conversion layer* are responsible for moving the planned concept and strategies into action. Massive consultation and training along with capital investment become the key feature at this phase. In the *maintenance and renewal layer*, continuous improvement and periodical review on performance aim to ensure the transition does not revert.

Rauschmayer et al.(2015) suggested that the PTM model facilitates the addressing of adamant issues and discovering long term solutions during reform. The model emphasises the systematic

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approach rather than dealing with individual enterprises to offer flexible and functional solutions in any given operational environment.

It has been applied broadly in various industries, including energy, mobility, water and waste management (Loorbach & Wijsman, 2013), but notably, scarcely in the textile and apparel sector. It is also debatable whether the model can deliver an effective system to address nonlinear, complex, open-ended, flexible and explorative governance (McCalman et al., 2016). Therefore, it is not guaranteed as a fit for all industries in all contexts.

In this study the aim is to test the suitability of the PTM model in the Chinese TAI during its transition towards sustainable production. Even if it is a good fit, it may also have a different manifestation in this case. Doing this aims to improve both the efficacy of transition management in this context and provide a potentially enhanced PTM Model. The comparison table contains the background section and compares and contrasts the research objective's current literature, shown in *figure 3*.

METHODOLOGY

The study uses qualitative and observation embedded methods to strengthen the final conclusions and minimise overlapping research outputs. The mixed-method provides an opportunity to reflect participants' points of view, enhancing the final research findings from their experiences and knowledge (Johnson & Onwuegbuzie, 2018). Mixed methods are flexible and widely adopted by many study designs to capture additional data than simply from one form (Hair et al., 2016). In this study, the mixed method captures and explores this complex phenomenon as it manifests in the Chinese TAI during its sustainable transition. Moreover, triangulation in this research further strengthens the validity of the final findings (Fusch, Fusch, & Ness, 20018).

A multi-case method is adopted to broaden the representativeness of a range of similarities (Gerring, 2008) within China's TAI. Sekaran and Bougie (2016) point out that the case study approach better addresses how a process changes over time to support the initial theory that tentatively clarifies the phenomenon.

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Semi-structured interviews are used due to provide flexibility and convenience to data acquisition. They have been widely adopted in field studies to gather information effectively (Qu & Dumay, 2011). Open-ended questions and analysis of interview transcripts are used and merged with secondary data by using the scholar's ears and eyes, providing a powerful instrument to examine whether the participants' feedback was genuine (Mulhall, 2003). In this study, the researcher personally witnessed and verified the transition processes at each participating organisation, including the sustainable transitions and improvement in environmental and social settings.

Sampling

Malterud et al. (2015) indicate no universal rules for sample size selection in qualitative dominated research. However, the sample size needs to be defined to ensure data saturation. Therefore, the size of the sample here is guided by the information power matrix. It suggests that a smaller size of sample is desired if the research scope is narrow; the participants can gain comprehensive knowledge; a specific concept is applied; the high quality of the conversation is ensured and analysed case by case (Malterud et al., 2015). In addition, purposive sampling, also known as judgement sampling (Tongco, 2007), is adopted to recruit participants since this type of sampling is broadly used in data collection when the sample size is relatively small and more profound interview is required. Explicitly, the criteria for selecting the participants are: within the Chinese TAI; and is a manufacturer; and has completed at least one of its supply chain practices towards sustainable production. One person from each participating organisation is chosen based on the individual's work duties, experiences and knowledge of the research questions. Each of these subjects is considered as an in-depth case, with the semi-structured interview providing a skeleton for further observation, and direct observation of processes and people within the organisation

Approach to the respondents

The lead author has preliminary Chinese contacts with the support of family members in China and good access and cultural understanding. Those contacts work in the southeast area of China, historically the centre of the Chinese textile and apparel manufacturing and trading zone since 1522

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(Wang, 2011: Xu, 2007). The snowball technique was adopted to seek more potential participants. A total of twenty five Chinese textile and apparel companies containing ten fabric manufacturers and fifteen garment producers were successfully recruited for the study using this approach.

Data collection and analysis

Primary data was collected from the semi-structured interviews and observations. Participants contributed specific key knowledge and experiences to the research questions. Additionally, the manufacturer's site at each organisation was visited to witness the progress and outcome of the sustainable transition. In this study, the observation was primarily used to witness the sustainability of the transition that participants implemented. The structured observations with predetermined purposes aimed to record the environmental and social development of the participated organisations during the transition. The interviews with individuals from each case study provided multiple jigsaw pieces fitted into the whole picture through observation. Data collection continued until no new codes, information or themes occurred in the data.

Qualitative phased coding, including initial coding, focused coding, and axial coding (Song, 2014) was used in the data analysis stage to seek answers to the research outcomes. Initial coding was obtained from the transcript of the semi-structured interviews and the observation of each participated manufacturer. It was then developed further to form the conceptual meanings at the focused coding phase. Finally, the axial coding was generated based on the focused coding to formulate research themes.

FINDINGS

The drivers to sustainable manufacturing

The PTM model started with understanding the needs and drivers that cause change. Davis (2017) also stated that knowing the major drivers that led enterprises to change is significantly important. Many studies pointed out that the main drivers led the organisational change towards sustainable production were: new legal and regulatory requirements from government; sustainable knowledge and technology enabling performance enhancement; sustainable awareness from the

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manufacturer; Non-Profit Organisations impacts and negative ecological and social incident or disasters (Caniato et al.,2012; Cherry & Sneirson, 2010; De Brito et al., 2008; Jørgensen & Jensen, 2012; Nishat Faisal, 2010).

The respondents from both fabric and garment producers expressed that the main drivers were customers. For instance, a senior Supply Chain manager from a fabric manufacturing company reported that the change of customers' needs resulted in the preliminary shift towards sustainable production:

"We first realised that transformation needs were changes in customer needs, as more and more customers demanded organic products. This required us to respond quickly to markets and customers."

In addition, the study found that surviving in the market became a driver to sustainable production. A few respondents from both categories of the manufacturers indicated:

"Only those that be able to transform to sustainable production can exist in the market nowadays."

"A small company like us needs to quickly change our production and process to comply so that we can survive in the market."

New regulations and legal requirements appeared to become a vital enabler for China's textile and apparel manufacturers to transit to sustainable production. Several senior managers of the respondents from both fabric and garment producers commented:

"There are many factors that drove us to transit from the traditional manufacturing to sustainable manufacturing, like the environmental regulations from the government."

"I think the government's requirements for sustainable production in the industry are the main factors driving our transformation..."

"Changes in national policies are also a major reason to promote the transformation of our sustainable production."

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Defining future changes

Detailed plans and strategies had been drawn down after identifying the drivers for changes. It was critical to compare the present and future targets and define the future obligatory processes at this stage (Jones & Recardo, 2013). The preparation for gaining international certificates significantly impacted the sustainable transition at the planning phase (Arvin et al., 2017; Harpur, 2011). The certification system set universal standards for manufacturers to sustainably control and monitor from the input of the raw materials to the final delivery to consumers (Oelze et al.,2020). In this study, many Chinese textile and apparel respondents adopted the international certification system, for instance, Better Cotton Initiatives (BCI), Organic Content Standard (OCS) and Global Recycled Standard (GRE). A few fabric and clothing manufacturers indicated:

> *"Study the requirements of customers, that is, the requirements of international standards, and then formulate relevant solutions and policies."*

> *"We studied the qualification requirements for GRS 4.0, and then carried out corresponding internal reforms and transformations according to the specific GRS 4.0 requirements."*

Interviewees also reported that transition initiatives such as securing the investment in new equipment and technology, draft new policies and procedures according to the customers, suppliers, government, and market guidelines, occurred at the preparation stage. Some quotes from the transcription illustrated this:

> *"In terms of national laws and regulations, through research, we have formulated many related enterprise systems…"*

> *"Formulating relevant detailed management systems based on requirements from customers and suppliers…"*

> *"… need product diversification, new equipment, technology and new management concepts."*

Implementing the transition

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Managing and implementing the targets and goals designed at the previous stage was carried out at the conversion phase. Kotter et al. (1996) suggested that it was crucial to ensure the internal and external stakeholders involved in the transition understand the new philosophy through training and education. Also, recruiting and selecting qualified candidates to implement transition initiatives and allocating team members to work on the sustainable operations within the organisation was undertaken at this stage. At the social dimensions, the sustainable transition was all about making the lives of various stakeholders better (Graetz et al., 2011; Jones & Recardo, 2013; McCalman et al.,2016; Wilhelm, 2014).

The study found all participants reported conducting specific actions related to the conversion phase. Some selected quotations are shown below:

"Introduced many sewage and waste gas treatment equipment to meet the standards."

"... train employees to change their working models. The working models of employees must be consistent with the government laws and regulations and international requirements."

"...have relevant policies and training records on anti-harassment and anti-discrimination."

Maintaining and renewal

There were two critical steps that occur in the organisational change phase. One was to act on the new policies and strategies; the other was to enable continuous improvement (Nilakant & Ramnarayan, 2006). Therefore, continuous improvement on the current system that ensured this perpetual transition did not regress became critical as the last stage of the process. Jones and Recardo (2013) ascertained that reporting and reviewing the transition results constantly to seek guidance and support led to continuous improvement. Many fabric and garment firms in the study pointed out that through regular review and audit, new policies and procedures were followed and readjusted to meet and sustain the sustainable production requirements:

"We have a special department to review progress. This department is ... to ensure the steady progress of our sustainable development process."

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"Our audit is to continuously meet and exceed internal, external and customer required standards through quality and environmental monitoring."

The study proved the previous literature that senior management's strong ethical and environmental commitments significantly impacted the transition capability and sustained the change (Kakabadse et al., 2010; Resta et al., 2013). For instance, a respondent from a garment producer expressed that the senior management support contributed to the maintenance phase during transition:

"This is to mention the strong support of our senior management, which is the key to not let the transition go backwards."

Discussion

The transition from conventional to sustainable production has become the new landmark of textile and apparel manufacturers. To some extent, the study found the PTM model to be suited for guiding the transition towards sustainable production in the TAI in China. It found the need to transition towards sustainable manufacturing related to market survival and requirements from customers and suppliers. Additionally, regulations and acts from the Chinese government played a vital role in fostering the transition. Hence, the study confirmed that the trigger layer of the PTM model indeed existed at the beginning of the transition in the textile and apparel supply chain in China despite quite different change drivers from those contemplated when the model was developed.

Moreover, respondents expressed that drafting new policies and procedures, securing investment for environmental sensitive equipment and technologies based on the preliminary sustainable processes were conducted at the planning stage. Most importantly, most of the participated manufacturers were aware of the importance of acquiring international qualifications and considered them at the early stage of the strategic planning. It again confirmed that the vision layer of the PTM model, which aims to define the future challenges and innovations, had been taken up.

Almost all the respondents asserted that transforming sustainable strategies into action based on their previous plan was vital to success, and massive training provided to employees, suppliers and even customers was undertaken to further clarify functions of transition and enhance engagement.

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They reported various actions had been implemented towards sustainable production, including amending company policies and practices to meet the government regulations, improving workers' living and working conditions, empowering workers, treating waste and emissions with new technology and equipment, and sourcing organic raw materials for production. The lead researcher also observed social and environmental improvements at most of the participated manufacturers during the site visits. This verified that the conversion layer of the PTM model knocking the theories into practice did occur in the study group.

In addition, the case study participants confirmed the maintenance and renewal layer of the PTM model had been applied, as shown by their actions to sustain the transition through periodical review and consistent audit and assessment.

Implications

The study supports the applicability of the Perpetual Transition Management model in the Chinese TAI during the transition from conventional production to sustainable production. Indeed, it is the first empirical research to discover and investigate sustainable manufacturing by adopting the PTM model. This study fills the previous research gaps, previously with little research on governing the shift towards sustainable production within the TAI from the transition management's perspective.

Conclusion

Transition management has been researched in energy, mobility, water, and waste management contexts (Loorbach & Wijsman,2013). However, studies have barely focused on transition in the textile and apparel sector. Hence, the study fills the existing research gaps to explore and examine the transition in sustainable production in the Chinese TAI by applying the perpetual transition model. It proves the feasibility of the PTM model in China's textile and apparel industry. Also, the study discovers the practical PTM model that roots in the Chinese textile and apparel industry indicated in *figure 4*.

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It highlights the path for manufacturers in this important Chinese industry on transitioning from conventional production to sustainable production, a requirement they have for their continued survival, and potentially other sectors seeking to transform into sustainable industries.

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Figure 1: Ecological and social impacts in TAI
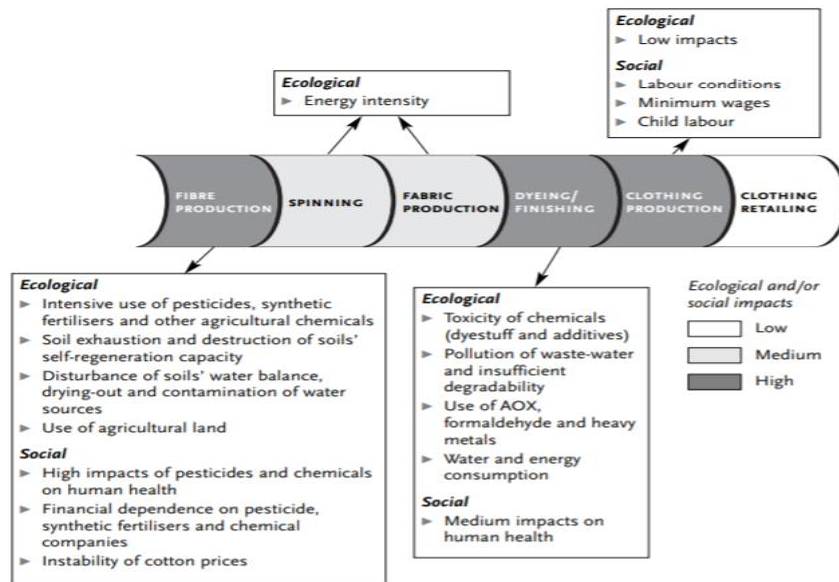
Source: (adapted from Goldbach et al., 2003, p, 67)

Figure 2: Perpetual Transition Management Model

Trigger layer	Opportunity, threat, crisis, clarify, express, communicate
Vision layer	Define the future (including structure) challenges, excitement, innovation
Conversion layer	Persuade, recruit disciples, detail the structure
Maintenance and renewal layer	Sustain and enhance belief, reinforce and justify, regression avoidance (ritual)

Source: (adapted from Buchanan & McCalman, 1989, p. 189)

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Figure 3: Existing literature versus research objective

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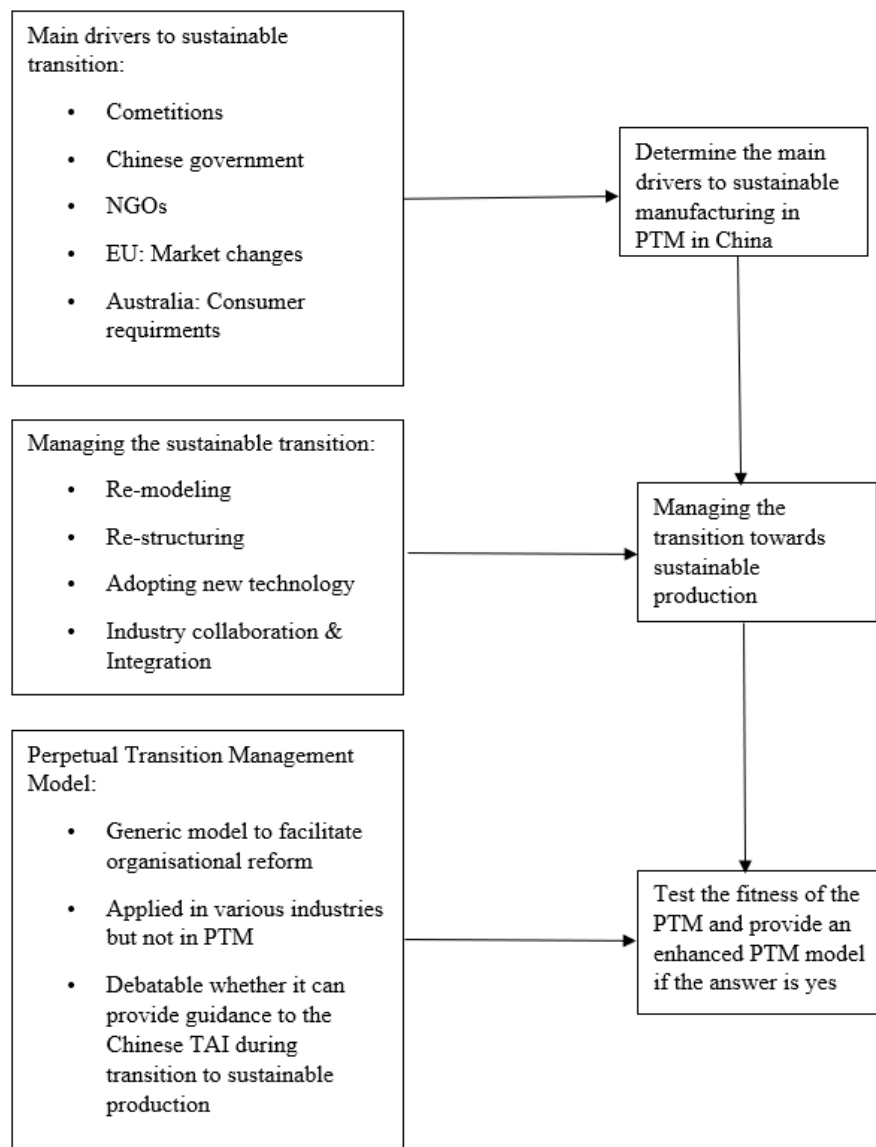
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Figure 4: The practical Perpetual Transition Management model

Trigger layer	Market changes, customer requirements, new legal acts and regulations
Vision layer	Prepare, plan and define the future transition initiatives
Conversion layer	Put detailed plans into action
Maintenance and renewal layer	Regression avoidance through regular performance review and audit, senior management commitment to enhance the belief and sustain the transition

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Career Management for First Peoples

in Australia

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Career Management for First Peoples in Australia

ABSTRACT: *This paper examines the challenges, opportunities, and strategies that pertain to the career management of Aboriginal and Torres Strait Islander Peoples in Australia (hereafter, First Peoples) in Science, Technology, Engineering, Maths, and Medicine (STEMM) occupations. The research adopted a qualitative case study approach, involving semi-structured interviews with managers and employees in Australian STEMM organisations, to explore the perspectives of both First Peoples and non-First Peoples regarding First Peoples' career management. Findings support and extend existing literature on the career challenges experienced by First Peoples, further extend literature about First Peoples' employment and career management, and reveal opportunities and organisational strategies for First Peoples' career management. More broadly, the research has important implications for society, as career management strategies improve social equality.*

Keywords: career management, challenges, opportunities, strategies, First Peoples, Indigenous

Aboriginal and Torres Strait Islander Peoples (hereafter *First Peoples*) are the original inhabitants of Australia and the traditional custodians of the land. First Peoples are diverse, and accordingly, have diverse sets of histories, identities, and cultures across Australia (Pascoe, 2008). Although prior research explores the underrepresentation of First Peoples in employment (especially in some sectors) and the challenges that First Peoples experience in employment generally (Chirgwin, Farago, d'Antione, & Nagle, 2017; Daly, 1995; Donovan & Leivers, 1993; Hunter & Gray, 2017), only limited research specifically examines First Peoples' career management. Yet, relative demand for high skilled occupations is on the rise, as knowledge-based industries develop in areas such as biotechnology, communications, health, education, and business services (Ziguras, 2006), and it could be argued that, as careers and industries evolve in this dynamic business environment, a critical opportunity is emerging to identify and understand suitable career management practices for First Peoples with a view to improving social equality. While existing literature on First Peoples'

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employment outlines the career challenges First Peoples may experience (Ewing, Sarra, Price, O'Brien, & Priddle, 2017; Lichtenberg & Smith, 2009; Seet, Jones, Acker, & Jogulu, 2018), there is limited research exploring career opportunities for First Peoples in knowledge-based organisations and the strategies First Peoples and organisations can adopt to address these challenges and maximise First Peoples' career opportunities. This research addresses this gap in the literature by examining the challenges, opportunities, and strategies that pertain to the career management of First Peoples in STEMM organisations.

This paper begins with a review of the relevant literature regarding First Peoples employment and careers, and is followed by an outline of the methods utilised in the current research. Next, the findings and key themes are presented. The paper then provides a discussion of the findings in relation to previous literature, summarises the contributions of this research, and concludes with suggestions for future study.

LITERATURE REVIEW

This paper defines a 'career' as a sequence of work-related experiences and activities that a person passes through during his or her lifetime that are directed at personal and/or organisational goals, and that are partly under their control and partly under the control of others (Hall, 1996). In contrast, an individual may have a *job*, which is typically comprised of common tasks that reflect their immediate experience, but such a job may not be related to other jobs that the individual performs, and may not have specific pathways either within or outside it (Selmer, 2002; Whymark & Ellis, 1999; Wickramasinghe, 2011). A career is thus distinct from a job in that it refers to the interrelated jobs that an individual undertakes throughout their lifetime that become a pathway which allows that individual to achieve set goals (Goffnett, 2012). In this sense, a career may well involve jobs with more than one employer and more than one occupation.

Career management can be separated into three distinct categories, distinguished by whether the organisation or the individual has responsibility for the employee's career. The first category derives from the traditional view of careers and assigns the responsibility of career management to the organisation (Hernaus, 2019). The second category suggests career management is solely the

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responsibility of the employee, meaning the employee will drive the direction of their own career pathway. The third category suggests effective career management practices require partnership between organisations and employees (Lewis, 2012; Wickramasinghe, 2011), and responsibility is shared between the organisation and the employee. The third category is thus distinct from the other two categories in that it emphasises shared responsibility. Fundamental to each category is a 'program' or 'strategy' that is used to achieve the employees' career goals (Greenhaus, Callanan, & Kaplan, 1997; Hernaus, 2019; Lewis, 2012). This study recognises career management as a vehicle for achieving an employees' career goals by implementing a program or strategy, however, this strategy may differ, depending on who holds primary responsibility for it and the context in which it occurs.

The existing literature on First Peoples' employment examines a range of issues, including First Peoples' employment programs, managers' attitudes towards First Peoples, and various practices for attracting, recruiting, and retaining First Peoples. These bodies of literature at times present conflicting evidence while generally indicating that First Peoples are confronted with challenges in their careers, including discrimination, and, in some cases, limited opportunities for career progression, despite having career aspirations (Biddle, Howlett, Hunter, & Paradies, 2013; Crawley & Sinclair, 2003; Pearson & Daff, 2013). Not all First Peoples experience these challenges; however, research indicates First Peoples are both overrepresented in low skilled occupations and underrepresented in professional and senior management positions in high skilled occupations across all industries (Borooah & Mangan, 2002; Chirgwin et al., 2017; Daly, 1995; Donovan & Leivers, 1993; Hunter & Gray, 2017).

Furthermore, First Peoples are more likely than other Australians to enter low skilled occupations, and, once employed in these positions, are less likely to progress into higher skilled occupations (Borooah & Mangan, 2002; Hunter & Gray, 2017). Lichtenberg and Smith (2009) argue that First Peoples need transferable skills and goal setting capabilities to shift into higher skilled occupations. Other research suggests organisations have a role to play in improving First Peoples' employment through Reconciliation Action Plans (RAPs; Burgess & Dyer, 2009; Heard, Love, Sing, & Goerke, 2017; Hunter, 2010; Pascoe, 2008). Daly and Gebremedhin (2015) assert that positive change is occurring through RAP initiatives, as First Peoples pursue organisational opportunities.

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Although the collective literature on First Peoples' employment presents a call for action to improve employment outcomes, what is missing is a discussion of specific career management strategies that can be implemented by First Peoples and organisations to enhance First Peoples' career outcomes. As careers and industries evolve in the context of a knowledge economy, there is a need to better understand career management strategies for First Peoples, both in the present and into the future. Thus, this current research examines the overarching research question—*What are the perspectives of employers and employees regarding the challenges, opportunities, and strategies that pertain to the career management of First Peoples?*

RESEARCH METHODOLOGY

This research received ethical clearance from Griffith University (GU Reference No: 2020/463), and was conducted in accordance with ethical guidelines. Ethical principles for conducting research with First Peoples were central to the development and implementation of this research, which followed the guidelines outlined in Booklet 30 of the Griffith University Research Ethics Manual. The core values of reciprocity, respect, equality, responsibility, survival and protection, spirit, and integrity were fundamental in conducting this research.

The research adopted a qualitative case study approach to its investigation in STEMM organisations, and used purposive sampling as an appropriate method to identify participants. Suitable organisations were identified by reviewing ASX listed companies and government department listings. Once organisations were identified, as the primary researcher, I confirmed whether the organisation had an active RAP, which would demonstrate the organisation's commitment to First Peoples' employment outcomes. When this was established and the organisations confirmed their participation, a HR contact was nominated at the organisation as a coordinator. This coordinator promoted the research internally, assisted with organising senior sponsorship, and liaised between myself and the organisation. They also provided me with a list of names, and I then contacted potential interview participants directly; interview dates/times were organised with those who agreed to an interview. I conducted 45 semi-structured interviews between December 2020 and April 2021 with 18 managers

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and 27 employees. Of the interviewees, 30 identified as First Peoples and 15 as non-First Peoples. Of the interviewees, 25 were male and 20 were female.

The interviews consisted of open-ended questions aimed at better understanding the challenges, opportunities, and strategies that pertain to the career management of First Peoples. Two sets of interview guides were used, one for managers and one for employees. The manager interview guide focussed on how organisations manage First Peoples' careers, the challenges they had faced in developing First Peoples' careers, how they may have approached these challenges, and what strategies they had implemented to overcome them. Similarly, the employee interview guide asked employees questions about the challenges they had encountered throughout their careers; how they overcame those challenges; whether First Peoples' culture played a role in their workplace, and what associated implications this might have had for their careers; whether First Peoples had multiple identities at work and how these played out; the implications of having a career plan; and what strategies organisations and First Peoples could implement to develop First Peoples' careers. At the end of each interview, interviewees were asked to share any other information they felt was relevant in terms of their own career management in their organisation. Interviews were typically 30–45 minutes in duration. Each interview was recorded and later professionally transcribed. The Coronavirus (COVID-19) pandemic posed logistical challenges in collecting data, due to travel restrictions and lockdowns. The majority of the interviews were therefore held via Microsoft Teams™ or via telephone, with only a few occurring in person.

Thematic analysis was selected for this research because it allows the researcher to identify patterns across the data that relate to the participants' lived experience and perspectives; it seeks to understand what participants think, feel, and do (Clarke & Braun, 2017). Arbon and Rigney (2014) observe that 'too often research on First Peoples is missing First Peoples' control and their perspectives' (p. 489). As an Aboriginal PhD candidate, I aim to make First Peoples' voices evident in this research, and observe the custom whereby each Aboriginal mob is sovereign; accordingly, I do not speak on behalf of mobs outside of my own unless asked to do so. As such, I see my role as being to analyse the data with integrity, openness, and a commitment to providing an accurate representation of the participants' perspectives. This is of critical importance to me in conducting research with First

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Peoples; Arbon and Rigney (2014) draw attention to cases whereby previous researchers have (in some instances) overlooked First Peoples' perspectives, and this context makes my role in presenting an accurate representation of participants' voices even more important to me in this research.

The thematic analysis process progressed through several stages. First, the transcribed interviews were deidentified (assigned a numeric code) and entered into *NVivo 12™.* I then read through each numbered transcript and identified major themes emerging from the data (Bazeley, 2007). Next, the themes in each transcript were designated as overarching codes, and I further identified subordinate codes in these themes that were assigned to each relevant section in the transcripts. This process was completed across all the interview transcripts, and the codes were placed in ascending order by the level of importance assigned to their corresponding overarching themes, with the most prominent themes being given a higher level of importance. Following this, the transcripts were read again, and all the codes were reviewed and were perhaps reassigned to overarching codes or condensed as unique codes. Finally, the data was organised according to the analysis, and was summarised.

FINDINGS

The thematic analysis was structured around themes that related to the overarching research question, namely, the challenges, opportunities, and strategies that pertain to the career management of First Peoples. Inside each of these overarching themes, a series of subthemes is presented.

Challenges

Underrepresentation

First Peoples were underrepresented in professional and senior management positions in high skilled occupations across all the organisations examined. Most of the interviewees, both managers and employees, observed a lack of First Peoples in professional and senior management positions within their organisations, and their overrepresentation in lower skilled occupations. Interviewee 16 (manager) summarised this underrepresentation by saying:

> Overall, we've got 6% representation within our business. So, majority of those roles sit in operations, blue collar jobs and I would say, you look at the data nationwide, it

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probably shows a very small percentage of Aboriginal people, who have degrees and
work in the corporate space.

Discrimination

Literature suggests that First Peoples experience discrimination in the workplace, and
interviewees acknowledged that this was occurring in their workplaces. However, interviewees also
discussed the importance of having anti-discrimination measures in place to create an equitable work
environment. Interviewee 12 (manager) explained: 'If someone wanted to throw around terms,
derogative terms or whatever, that stuff can be addressed, and people can be made to understand it's
hurtful and it's wrong and you actually can't do that anymore.'

Limited career opportunities

Interviewees indicated opportunities are limited, at times, for First Peoples' career progression.
Interviewee 16 (manager) said: 'The gap is, they're [First Peoples] not being given the opportunity to
show that they can step into the role and learn and grow in those roles as well.' Similarly, Interviewee
20 (employee) said: 'I'd like to see people still being given those opportunities to progress throughout
the business. And yeah, not have that opportunity removed because they're lacking an official
qualification.'

Opportunities

RAPs embed suitable results

Reconciliation Action Plans provide an opportunity for organisations to set targets, build
relationships with First Peoples, and achieve real outcomes for First Peoples' employment.
Participants recognised the importance of RAPs and reflected on embedding sustainable results.
Interviewee 25 (employee) said:

> From going from no RAP, no talk of reconciliation, or not talk of, acknowledgement of
> countries, through to six years down the track, and it's literally like second nature to
> our managers. It does certainly formalise things and helps map that out as a company.

Similarly, Interviewee 4 (manager) said:

> When we first started this (reconciliation journey), we'd have our AGM. I would have
> to say, 'How about we get an elder in to perform a welcome to country?' I don't do that
> anymore. It just happens naturally. It's embedded in the business.

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Leveraging support

Interviewees discussed support as being a critical factor for achieving successful results in First Peoples' career outcomes. Interviewee 40 (manager) stated:

> We depend on support from the organisation. We have had, since 2014, and it grows each year, you can feel the momentum increasing, we've had really good support from people, frontline leaders, and senior leaders in the organisation, to deliver on the commitments, and to show that respect and build relationships with Indigenous Peoples within our organisation.

Likewise, Interviewee 18 (employee) explained:

> Every part of the business is extremely keen to jump on board and support us in a lot of our initiatives that we try and do throughout the year, that support our commitments. We've definitely evolved. We're moving forward in leaps and bounds.

In terms of the importance of support, Interviewee 25 (manager) expressed this by saying: 'If you don't have that support from the CEO, from the executive team, you'll struggle in the business.'

First Peoples' culture

Interviewees discussed culture as being an inherent part of an individual's identity, and expressed the importance of culture being accepted within the workplace. Interviewees discussed National Aborigines and Islanders Day Observance Committee (NAIDOC) week activities as an excellent way to share and promote culture within the workplace. Interviewee 24 (employee) said:

> It's a massive part of you as a person. It's really important for any workplace to have. There's different things that people bring to the table that make workplaces. Especially with different people, different roles, and different backgrounds, everyone has got a different perspective on things. And I think that's for the better.

Interviewee 38 (employee) supported this point: 'Culture is very important. It's very important that people feel included as well, and that people within the business are accepting of their differences.' Interviewee 30 (employee) connected these ideas of culture, self, and the workplace by saying:

> It's bringing yourself to work, being comfortable with who you are and with your colleagues. Over the last seven years it's come out of the dark and it's out there and it's making people aware of Indigenous culture. You definitely have that in the workplace and the diversity of it all is a good thing. It's educating others around you.

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Opportunities overall

Interviewee 25 (manager) summarised the importance of opportunities by saying:

> Sometimes we've got to give people who don't have that opportunity, we've got to give
> them the opportunity. If you give the right mentoring and training and help and
> support, then I think you'll be rewarded. We've got to make sure we increase the
> number of Indigenous people we've got in the workforce.

Strategies

Recruitment

Interviewees acknowledged various challenges in how organisations attract and recruit First Peoples. In terms of the recruitment process itself, interviewees discussed a developmental process for leaders, to understand First Peoples' cultural protocols and use this as a strategy to increase a company's attraction of First Peoples. Interviewee (employee) 38 explained:

> So, the recruiter will tend to be on the recruitment panel. Some of the work I've done, I
> can bring into the recruitment panel. So, things like culturally, if someone's not looking
> you in the eye, I help the leaders understand why.

Interviewees discussed the success of using assessment centres as a model, one which fits well with First Peoples applying for trade and operator positions. Interviewee 35 (manager) discussed opportunities in partnering with local Elders and businesses for recruitment:

> I've connected with local Elders and I think there's an opportunity to work with them
> and bring some really good people into the business. There's good opportunities to
> partner with organisations and give opportunities to people that really deserve it.

Career Trackers

Interviewees suggested Career Trackers as a strategy to improve First Peoples' employment in high skilled occupations. Career Trackers is a not-for-profit organisation that aims to create pathways and support systems for First Peoples to attend and graduate from University with industry experience. Interviewee 16 (manager) described this, saying:

> Career Trackers can play important role to increase representation nationwide. The real
> benefit is helping with the transition of those people, get to the end of University and
> then help them transition into roles. I think that's a really important gap.

Interview 28 (manager) supported this:

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> We've had success in our operations and trade-related roles, so although that's on track well, and that significantly contributes to our overall representation, within our offices here it's not at all matching what we'd like. So, what opportunities do we have to change that? We signed up to Career Trackers.

From a recruitment perspective, Interviewee 38 (employee) stated:

> The corporate area is one area that we really need to work on, and we have developed a 10-year relationship with Career Trackers. We do have Career Tracker interns coming into the business. It's given us access to Indigenous people that we probably wouldn't tap into.

From a Career Trackers intern perspective, Interviewee 37 (employee) shared her experience:

> One of my favourite elements has been getting in contact with people that I wouldn't have ever met prior. Just having a real sense of community working with mob. We get a lot of mentoring and there's lots of opportunities to meet new people and experience community in a way that I think can be neglected.

Development and leadership program

Development and leadership programs assist in developing careers. Interviewees described the programs as an avenue to develop their skills, connect with peers, and enhance their careers. They emphasised the importance of following up with participants once the program is complete. Interviewee 25 (manager) summarised this by saying:

> We hold a leadership program. We identify the talent in the business, then what do we do? There's got to be next steps and those next steps are bringing those people up and along on the journey and what can we offer them beyond just a short program? There's got to be more.

Mentoring

Mentoring emerged as a key theme in being a critical factor in successfully developing First Peoples' careers. Interviewees reflected on formal and informal relationships, both inside and outside of their organisation. Mentoring was described as a way to develop First Peoples' skills; Interviewee 12 (manager) commented that it was aligned with First Peoples' culture: 'It's almost like it's in our DNA. It's so familiar to us because we've been doing it for tens of thousands of years.'

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Networking

Interviewees viewed networking as an important strategy for their career progression, as Interviewee 25 noted: 'Networking is a big thing, in any organisation. Helps immensely.' Interviewees suggested networks can assist in many areas, from finding the right people to help map a career pathway through to connecting with networks for future career opportunities. Although networking was viewed as having many advantages, a key theme emerged regarding First Peoples using support networks to assist in overcoming the challenges they may experience in the workplace, especially for those in high skilled occupations where First Peoples are underrepresented.

Figure 1 provides a conceptual framework that aggregates the findings.

Insert Figure 1 about here

DISCUSSION

This research explored the perspectives of managers and employees, both First Peoples and non-First Peoples, about the challenges, opportunities, and strategies that pertain to the career management of First Peoples in STEMM organisations. The research was undertaken in accordance with key principles for conducting research with First Peoples, and First Peoples' voices were central to it; as such, it makes an important contribution to the existing literature, much of which has included limited involvement by First Peoples.

The findings contribute to the literature on First Peoples' employment and career management in several aspects. First, whilst not all First Peoples experience career challenges, this research identifies a series of challenges that First Peoples may experience in their careers. This adds to existing research about challenges First Peoples experience in employment generally (Ewing et al., 2017; Lichtenberg & Smith, 2009; Seet et al., 2018). The present findings also support the phenomenon discussed in prior literature, that First Peoples are underrepresented in professional and senior management positions in high skilled occupations, including STEMM occupations (Chirgwin et al., 2017; Daly, 1995; Donovan & Leivers, 1993; Hunter & Gray, 2017). This research also confirms prior research, that First Peoples experience discrimination in their workplaces and have limited career opportunities (Biddle et al., 2013; Crawley & Sinclair, 2003; Pearson & Daff, 2013).

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Second, as the literature on First Peoples' employment often calls for action to improve First Peoples' employment outcomes, this research moves this literature forward by exploring how First Peoples and organisations alike are overcoming these challenges by accessing opportunities to improve First Peoples' careers (Bainbridge, Tsey, McCalman, & Towle, 2014; Brown, 2014; Fleming, Prenzler, & Ransley, 2013). This research found that some First Peoples have successful careers and have had opportunities to develop their careers. Furthermore, the findings reveal that both First Peoples and organisations view RAPs as an opportunity to embed sustainable results within an organisation. Interviewees discussed RAPs and the ways organisations are delivering on their commitments to build relationships between First Peoples and non-First Peoples through avenues such as employment. Moreover, RAPs provide an opportunity for organisations to set career management strategies for First Peoples and deliver on these to enhance First Peoples' careers. Interviewees viewed support as an opportunity to embed career strategies in organisations. First Peoples' culture was also identified as an opportunity, in that promoting and taking advantage of First Peoples' culture could improve organisational performance and First Peoples' career outcomes.

Third, this research moves the career management literature forward by identifying organisational strategies that have been undertaken by organisations to improve First Peoples' careers. Given the challenges in recruiting First Peoples, particularly into professional and senior positions, organisations are engaging with Career Trackers to attract First Peoples at entry level, with the aim of retaining them and developing their education and career prospects. Furthermore, to increase First Peoples' representation within organisations, strategies such as developing relationships with local Elders and businesses were providing opportunities to recruit First Peoples. For employees already in the organisation, leadership programs were seen as a means to develop First Peoples' careers. The findings suggest mentoring and networking are also important strategies for career progression, particularly at an individual level. Overall, this research addresses a gap in the literature by contributing information about these strategies, and thus helps advance the First Peoples' employment and career management literature.

This research also has important societal implications. In particular, enhancing First Peoples' careers may contribute to improving First Peoples' social outcomes, including in education, health,

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and employment. Such knowledge has the potential to provide a pathway towards economic prosperity and improved living standards for First Peoples, and improve Australian society overall through greater equity.

Future research could test and further develop the issues presented in the conceptual framework (see Figure 1), utilising research methodologies appropriate for First Peoples and exploring the opportunities and strategies used for the career management of First Peoples in First Peoples' enterprises, with the aim of providing a First Peoples' perspective.

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Stream 4. Gender, Diversity, and Indigeneity

Figure 1: Conceptual Framework of Career Management for First Peoples

External Context		
Legal environment	Labour market	National culture

Challenges

- Underrepresentation
- Discrimination
- Limited career opportunities

Opportunities

- Reconciliation action plans
- Leveraging support
- First Peoples' culture

Organisational Strategies

- Recruitment
- Career trackers
- Development and leadership program
- Mentoring
- Networking

Characteristics of First Peoples Employee/Manager

- Age
- Gender
- Education
- Experience
- Identity

Career Outcomes

To be determined after final analysis

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Stream 5. Entrepreneurship and SMEs

Entrepreneurship as a pathway to Refugee Resettlement: A literature review and future research directions.

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Stream 5. Entrepreneurship and SMEs

Entrepreneurship as a pathway to Refugee Resettlement: A literature review and future research directions.

Abstract

The resettlement and integration of refugees is a matter of utmost concern to refugee receiving countries. Entrepreneurship is considered a viable option that can aid and increase the level of refugee participation in socio-economic realms in host countries. This paper reviews studies published in the last two decades on the subject of refugee entrepreneurship, primarily focusing on resettlement and refugee entrepreneurship, barriers to refugee entrepreneurship, motivation for refugee entrepreneurship and attributes of refugee entrepreneurship. The need for the development of a conceptualised framework that explains the phenomena of refugee entrepreneurship is emphasised. We suggest a synthesis of the social capital and mixed embeddedness to develop a framework applicable to the investigation of the refugee entrepreneurship phenomena.

Keywords: Refugee entrepreneurship, barriers to refugee entrepreneurship, Conceptual framework, resettlement, Social capital, mixed embeddedness.

INTRODUCTION

Refugee receiving host countries are looking for strategies aimed at improving the socio-economic conditions of refugees. Millions of these displaced individuals across the globe are among the most marginalised of groups exposed to discrimination, unacceptable living conditions and high rates of unemployment (Heilbrunn, 2019; Bloch, 2008, 2014; Lyon et al., 2007; Phillimore & Goodson, 2006).

Trend of displaced people indicates that the number of refugees globally is expected to continue to rise unabated for the foreseeable future (see figure 1). Therefore, finding lasting solutions for refugees has become a global challenge. In 2018 an estimated 593,800 refugees of the millions worldwide returned to their country of origin (UNHCR, 2019), however this option may not be possible due to continued political instability, conflict, difficulties reclaiming lands and properties, insecurity and loss of livelihood (Esses, Hamilton & Gaucher, 2017).

Insert figure 1 about here.

In the same year, the number of global refugees stood at 25.9 million, while only 92,000 were accepted for resettlement as permanent residents (UNHCR, 2019). Radford and Connor (2019) argue that, "despite their formal commitment to the protection of refugees, as outlined in the Geneva Convention, citizens of Western countries (i.e., developed countries of Europe, North America, and Oceania) do not always regard refugees with compassion and focus on their protection. Instead, at times they greet refugees with intolerance, distrust and contempt, to some extent based on the perception that there is a trade-off between the well-being of refugees and the well-being of established members of potential host countries" (p.80). Often the popular view is that refugees threaten members of the host society by competing with them for jobs, housing and other social amenities. These attitudes serve to reinforce the refugee crisis, providing a rationale for significantly limiting the admittance of refugees to many Western countries (Ayed, 2015; Hier & Greenberg, 2002; Leach, 2003). In contrast, De Vroome et al.

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(2011) show that refugee employment is significantly and positively related to national self-identification and an indication of progress toward their settlement.

However, migrants generally (including refugees) are more likely than nationals of migrant receiving countries to be unemployed, to be in precarious or unstable employment, and to experience downward professional mobility (UNHCR, 20013). Since structural employment challenges often impede refugees entering labour markets in host societies, this literature review focuses on the emerging topic of refugee entrepreneurship as it can become a potential alternative path for the integration and enhanced resettlement outcome for refugees. This literature review is organised into five themes that reflect different areas of the refugee entrepreneurship phenomena namely, barriers to refugee resettlement, resettlement and refugee entrepreneurship, barriers to refugee entrepreneurship, motivation of refugee entrepreneurship and attributes of refugee entrepreneurs. The review offers a conceptual framework based on the synthesis of two theories namely; social capital and mixed embeddedness theory and discusses its usefulness to study refugee entrepreneurship. It concludes by recommending areas of further research in the study of refugee entrepreneurship. The next section outlines how the literature was searched.

METHOD

Searches were conducted across databases and Journals in a university library multilayer search engine, primarily focusing on articles published between 2000 – 2021. Searches for relevant literature were conducted using keywords and combination of words and phrases such as, "refugee* entrepreneur*", refugee business owner*, refugee business motivation, "barrier* to refugee resettlement", "refugee resettlement", "refugee integration", "refugee* business start-up", "refugee* business" and "refugee business operation*". Evidently, research on the topic of refugee entrepreneurship is limited, that accounts for the comparatively low number of retrieved articles bearing on refugee entrepreneurship.

 Retrieved articles were analysed with the application of deductive approach to identify themes (Braun & Clarke, 2006; Kristina et al., 2019). Commonly occurring themes in the topic of refugee entrepreneurship were first identified and grouped (such as "barriers to refugee resettlement", "refugee integration" etc). This was followed with the identification of uncommonly occurring themes (such as "problems of refugee businesses/entrepreneurship"). We found that social capital and mixed embeddedness theories were applied in some articles that focused on ethnic and migrant entrepreneurship. We examine the two theories and suggest a synthesis of the theories to develop a framework applicable to the investigation of the refugee entrepreneurship phenomena. The next section reviews the key themes in the literature.

Barriers to Refugee Integration and Resettlement

Literature highlights multiple factors that explain why navigating the path to integration can be challenging for refugees (Castles, Korac, Vasta, & Vertovec, 2002; Hynie, 2018; Ager & Strang, 2004).

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Developing the human agency needed to function effectively in a new environment requires the individual and collective initiative of the newcomers (Castles, Korac, Vasta, & Vertovec, 2002). At the same time, refugee settlement policies can influence refugee integration by shaping refugees' ability to participate socially and economically. These policies also have long-term impact on refugee integration by shaping community attitudes through their impact on stereotypes, perceptions of threat, and opportunities for positive interactions (Hynie, 2018). However, there are barriers to refugee integration.

A wide range of refugee specific literature includes lack of documentation, lack of formal education or interruption of studies as influencing factors of lack of integration (ECRE 1999; Volf 2001; Schilcher 2009; Riesenfelder, Schelepa & Wetzel, 2011; Gächter & Stadler 2007; Neuwirth, 2007). Speaking of migrants generally, Piracha et al. (2013) note that a mismatch between qualification and employment is particularly prevalent among family reunification migrants. Senthanar et al. (2020) finds that refugee women are faced with additional barriers to employment, such as cultural norms.

Lack of speaking and understanding of the host country's language is another factor that inhibits refugee integration (Le Quentrec-Creven, 2011; Descolonges & Laurens 2008; Breem, 2011; Carson, 2008; The Integration Centre, 2012). In France for example, Bèque (2007), suggests that refugees are furthest away from mastering French when comparing them with other migrants. Among the other reasons given for low labour market integration by refugees is less developed social networks which influence employment integration (Direction de l'Animation de la Recherche des Études et des Statistiques, 2011; Haut Conseil à l'Intégration, 2012); Descolonges & Laurens, 2008).

Other factors militating against migrant (refugee inclusive) resettlement are social and cultural exclusion (Dillabough, McLeod, & Oliver 2015; MacDonald, 2017), housing issues (Ager & Strang ,2004; Bèque, 2007; Régnard, 2011; Refugee Council of Australia, 2020), racism and discrimination (Burns, 2011; Kucera 2001; Scheiber 2007; Fetz 2011; Kraler, Hollomey, Hurich, Konig & Muzak, 2013; Kraler et al., 2013; O'Connell & McGinnity 2008; UNHCR, 2009), age (UNHCR, 2013) and health issues (Scheiber, 2007; UNHCR, 2013).

Refugee resettlement and integration is therefore a complex and multidimensional construct that touches on education, health, economic, employment, language and the general social context. The challenges that refugees confront in the host country differ significantly due to a number of factors, such as refugees' newness, their human and social capital and institutional differences between their home and host country (Harima et al., 2021).

Resettlement and Refugee Entrepreneurship

Literature views immigrants' (refugees inclusive) economic participation in the host country as a critical determinant of host country identification (Zimmermann, Zimmermann, & Constant, 2007; Phinney, 1990; Alba & Nee, 1997; Walters, Phythian, & Anisef, 2007), however, refugees are in a socio-economic disadvantaged position in host countries (Wauters & Lambrecht, 2008; Heilbrunn & Iannone,

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2018; Ayadurai, 2011; Bloch, 2008). This position is largely brought about by lack of employment opportunities for refugees (ECRE 1999; Volf 2001; Schilcher 2009; Riesenfelder, Schelepa & Wetzel, 2011). Therefore, strengthening the livelihood and economic self-reliance of refugees is considered a priority for the society (Jacobsen, 2002). Since structural employment challenges often impede refugees entering labour markets in host societies, entrepreneurship is considered as a potential alternative pathway for the integration and perhaps resettlement for refugees, however, it noted that this can be challenging for both refugees and host communities (Refai et al., 2018). Indeed, because of shortages of formal employment opportunities in host communities, many refugees are obliged to become entrepreneurs (Easton-Calabria & Omata, 2016).

Hence, there is a need to explore and investigate refugee entrepreneurship as a means of socio-economic participation, which is important for refugee resettlement. The next section identifies the barriers to refugee entrepreneurship, as discussed in the literature.

Barriers to Refugee Entrepreneurship

Refugees are conceptually placed in an institutionally distinctive position which limits their access to monetary and non-monetary resources (Werker, 2007; Jacobsen, 2002). Thus, they are placed in different ontological states of being and, consequently, they are confronted with considerable and additional market entry barriers when attempting to start a business (Heilbrunn, 2019).

Based on labour market disadvantage theory and the blocked mobility underpinnings of the theory, a number of scholars have described significant barriers to refugee entrepreneurship, such as personal and structural discrimination, and legal restrictions (Wauters & Lambrecht, 2008; Heilbrunn & Iannone, 2018; Ayadurai, 2011; Bloch, 2008). However, blocked mobility has also been identified as a motivator for refugee entrepreneurs (Tömöry, 2008; Roth et al., 2012; Price & Chacko, 2009). The lack of intercultural resources – such as cultural understanding, professional knowledge and language skills have also been identified as significant barriers to refugee entrepreneurship (Bloch, 2008; Heilbrunn & Iannone, 2018; Lyon et al., 2007).

Furthermore, institutional environments also present barriers to refugee entrepreneurship. Scholars have investigated entrepreneurship in challenging institutional environments, and these environments include: unstable institutional contexts of borderlands (Welter et al., 2018), emerging institutional contexts (Gupta et al., 2014), institutional voids (Khoury & Prasad, 2016; Desa & Basu 2013; Mair & Marti, 2009), institutional reconciliation (McKague & Oliver, 2016), conflict environments (Muhammad et al., 2016) and in the face of substantial and persistent adversity (Shepherd et al., 2020). The concept of bricolage (Baker & Nelson, 2005; Lévi-Strauss, 1967) has been applied in social entrepreneurship literature to analyse entrepreneurship in a context of impeding institutional conditions (Mair & Marti, 2009; Desa & Basu 2013) which highlight necessity, in the face of no other alternative access to resources (Desa & Basu, 2013). Heilbrunn (2019) contextualised the relationship between

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institutional voids and bricolage in the domain of refugee entrepreneurship and noted that refugees initiate entrepreneurial activities to create a market space due to pressure and constraints. Understanding the intent and motivation for refugee entrepreneurship start-up is required for a better understanding of the phenomena.

Motivation for Refugee Entrepreneurship

The terms necessity entrepreneurship and necessity entrepreneur were coined by the Global Entrepreneurship Monitor (GEM) in 2001 (Block & Wagner, 2010). These concepts denote embarking on entrepreneurial activities as a last result for economic survival, taking up a venture or establishing a business in order to generate income where there are no other viable alternatives (Rubach, Bradley & Kluck, 2015). Thus, refugee entrepreneurs can be compared with necessity entrepreneurs (see Table 1).

Necessity entrepreneurship theory is largely applied when studying entrepreneurial activities in poor and developing countries (Besanko & Braeutigam, 2007; Hipsher, 2010; Harrison & Huntington, 2000; Brewer & Gibson, 2014). For example, Besanko and Braeutigam (2007) posit that citizens of a nation whose macroeconomic infrastructure did not create sufficient numbers of jobs are forced to rely on their own ingenuity and talents to make a living. This position suggests that lack of employment is a factor necessitating entrepreneurship. Similarly, Hipsher (2010) reports that survival and not the dream of wealth is the primary motivator for becoming an entrepreneur. This individual seeking survival can be be pushed by necessity into entrepreneurship (Williams, 2006). Likewise, Larroulet and Couyoumdjian (2009) assert that a necessity entrepreneur undertakes the task only because of lack of other opportunities, in this case, the choice to undertake entrepreneurship is not necessarily because of the merits or qualities of the project being undertaken. This assertion suggests that necessity entrepreneurs engage in business ventures not because they perceive great opportunity in it, but because they need to do it for their survival. Reporting on necessity entrepreneurs in developing countries with a focus on Latin America, De Soto (2000) posits that individuals living in developing nations are forced to participate in business because they have no other viable alternatives for survival, as the economy could not provide enough jobs.

According to Robichaud, LaBrasseur and Nagarajan (2010), lack of job satisfaction, low family income, difficulties in finding employment are factors that push individuals to become entrepreneurs. The desire to have greater flexibility to deal with family issues often drives women to become entrepreneurs (Robichaud, LaBrasseur, & Nagarajan, 2010). These highlighted push factors suggest necessity entrepreneurship. When discussing entrepreneurship by necessity, Serviere (2010) identifies socio-economic, institutional and personal factors as causes for entrepreneurs to select self-employment. Other identified characteristics of necessity entrepreneurship are lower propensity to see opportunities, few or no inter-relationships with other entrepreneurs and lower skill sets (Robichaud, LaBrasseur, &

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Nagarajan, 2010). Robichaud et al. (2010) findings suggest that necessity entrepreneurs focus mainly on doing business to make a living, therefore they give little or no attention to opportunities with the aim of choosing the best investment opportunity. In addition, they are not highly skilled, nor do they interrelate with other entrepreneurs. Some similarities between push factors of necessity entrepreneurship and challenges of refugees are tabulated as follows in Table 1:

Insert Table 1 about here

Given these similarities, it is reasonable to conclude that many refugee entrepreneurs are motivated by necessity (Pecoud, 2003; Bizri, 2017). However, this reasonable assumption requires empirical evidence, this is currently lacking in the literature.

On the other hand, some scholars argue that opportunity discovery and exploitation is the motivation of entrepreneurship (Shane & Venkataraman, 2000; Stevenson, 2003; Oviatt & McDougall, 2005; Kuratko, 2014). This school of thought asserts that entrepreneurs do not start a business due to necessity, but due to opportunities they recognise (Kuratko, 2014). On a similar but slightly different note, Dana (2017) concludes that entrepreneurship should be viewed as a function of cultural perceptions of opportunity and not as a function of opportunity itself. It must be noted however that these scholars are generally discussing entrepreneurship and not particularly focusing on refugee entrepreneurship. For example, Stevenson et al. (2003, p. 3) define entrepreneurship "as the pursuit of opportunity beyond the resources you currently control". This definition did not rule out necessity entrepreneurs, of course, all individuals venturing into entrepreneurship must have a measure of control over some resources, either motivated by necessity or not. However, entrepreneurial intention is not limited to opportunity recognition entrepreneurs. Necessity entrepreneurs also have the purpose (intention) to survive (Rubach, Bradley & Kluck, 2015; Williams, 2006).

Some scholars see both necessity and opportunity recognition entrepreneurship as two components of business creation with basic distinction in motivation (Fairlie & Fossen, 2018). Thus, extent literature suggests, some entrepreneurs are forced into starting a business because there are no other options, whereas, other entrepreneurs start businesses because they recognise opportunities to do so (Block & Koellinger, 2009; Block & Sandner, 2009; Stephan & Uhlaner, 2010; Fossen & Buettner, 2013; Van der Zwang et al., 2016; Calderon et al., 2017). To this end, Fairlie and Fossen (2018) proposed a definition of opportunity and necessity entrepreneurship. "Individuals who are initially unemployed before starting businesses are defined as "necessity" entrepreneurs, and individuals who are wage/salary workers, enrolled in school or college, or are not actively seeking a job are defined as "opportunity" entrepreneurs (Fairlie & Fossen, 2018, p3). This definition is based on the initial unemployment status of entrepreneurs, which could apply to refugees. This definition is too simplistic and narrow, since it suggests that all entrepreneurs who are previously unemployed are necessity entrepreneurs while those previously occupied either in a training programme or not seeking employment before becoming an

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entrepreneur are opportunity entrepreneurs. However, this would wrongly assume all previously unemployed refugee entrepreneurs cannot recognise entrepreneurial opportunities, however they become entrepreneurs out of necessity. Due to past trauma and adversity, refugee entrepreneurs often enter an opportunity-production process with impaired cognitive abilities (Jiang et la., 2021). Based on this, would it be logical to conclude that refugee entrepreneurs are motivated by opportunity recognition? Conversely, are refugee entrepreneurs motivated by necessity? Further empirical study is required to answer to these questions. Understanding the motivation of refugee entrepreneurs is therefore crucial for making a distinction between necessity entrepreneurs and opportunity entrepreneurs. The distinction will enable a better understanding of the features and characteristics of these two types of entrepreneurs. In contrast to highlighted characteristics of necessity entrepreneurs above, opportunity recognition entrepreneurs are found to pursue more profitable ventures, have planning advantage and higher opportunity costs (Block & Wagner, 2010).

The distinction between these two types of entrepreneurs can form a basis for government policy. To illustrate, in Germany, the government provides funds in support of entrepreneurs as a way out of unemployment (Bergmann & Sternberg, 2007). A gap exists in the study of refugee entrepreneurship, as the motivational factors responsible for refugees taking up entrepreneurship are yet to be clearly understood. For example, would it be interesting to study if it is purely necessity or opportunity recognition or a mix of both, especially in countries where support is provided for refugee resettlement? Refugee entrepreneurship has not been examined in the debate of opportunity versus necessity entrepreneurship. There is a gap in literature in this aspect of refugee entrepreneurship. The question of what motivates refugees to venture into entrepreneurship needs to be answered. Finding answers to this question is important for a better understanding of the refugee entrepreneurship phenomenon.

Attributes of Refugee Entrepreneurs

Literature identifies some theoretically distinctive attributes/characteristics of refugee entrepreneurs that cannot be generalised because it sets them apart from other types of entrepreneurs. According to Heilbrunn (2019), there is a lack of a comprehensive theory on refugee entrepreneurship, and scholars are beginning to recognise that refugee entrepreneurs differ from migrant or immigrant entrepreneurs in terms of skills, motivations, social and cultural capital (Roth et al., 2012; Wauters & Lambrecht, 2006, 2008). Bemak and Chung (2014) attest to this statement by saying that entrepreneurial attributes of refugees differ from those of other immigrant entrepreneurs. Characteristics of refugee entrepreneurs are more complex, combining distinct cognitive, affective, behavioural and social attributes (Bizri, 2017). A distinctive attribute of refugee entrepreneurs is that they fled their country of origin due to a life-threatening danger, whereas *economic* migrants are relocating in a bid to pursue better economic opportunities (Edwards, 2015). As a result of the expectations of refugees to stay in their host country on a long-term basis if not permanently, they bring along survival attributes (Mueller, 2014), start over ambitions that differentiate them from opportunity seeking migrants (Ryan & Mulholland 2014) and a

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complex social capital (Stevens 2016; Pedrini, Bramanti, & Cannatelli, 2016; Zolin, Chang, Yang & Ho, 2016). According to Levie (2007), refugees have a high propensity to engage in new business activities, are less risk-averse and are confident about the resources they have to succeed in a new and unfamiliar environment. They also have a better perception of entrepreneurial opportunities (Levie, 2007). Shepherd et al. (2020) in a study on refugee resilience finds that the dimensions of refugee entrepreneurs include moral gains as a broader purpose in life, realistic optimism, proactive problem solving and self-reliance. Wauters and Lambrecht (2008) report that refugee entrepreneurs are challenged by more barriers than other immigrant entrepreneurs are.

Other fundamental differences between migrant and refugee entrepreneurs as put forth by Wauters and Lambrecht (2006, 2008) centres on access to country-of-origin resources, consequences of flight, social networks and trauma. An existing gap in entrepreneurship studies is the lack of comprehensive research focusing on the distinctive attributes and/or characteristics of refugee entrepreneurs. An in-depth analysis of how the trajectory of refugee entrepreneurship informs and affects refugee business motivation, start-up, performance (or lack of it) and exit strategy is currently lacking. Given the aforementioned gaps in literature, the development of a conceptual framework that can be used to study refugee entrepreneurship phenomenon is required.

TOWARD A CONCEPTUAL FRAMEWORK FOR STUDYING REFUGEE ENTREPRENEURSHIP

A review of refugee entrepreneurship literature suggests the need for a conceptual framework to study the phenomenon. Refugees have not been in the limelight of entrepreneurship research, and existing academic studies on refugee entrepreneurship are limited (Heilbrunn, 2019). Previous studies on refugee entrepreneurship have been descriptive, without consideration of the context (Heilbrunn et al., 2019; de la Chaux, 2018; Freiling et al., 2018; Bernard, 1976; Wauters etal., 2008). This raises the question of; what we can learn from '*context-specificities*' (Welter et al., 2016, p. 9). Therefore, in the next section we synthesise social capital and mixed embeddedness theory literature in order to develop a conceptual framework that can be useful to conduct research to fill the gaps in the study of refugee entrepreneurship by focusing on context-specificities. And we posit that the application of the conceptual framework to study refugee entrepreneurship will reveal peculiarities (context-specificities) of refugee socio-economic participation through entrepreneurship. Welter et al. (2016) argues that context enables us to explain variation in entrepreneurship, but also to develop theory based on those variations. In consonant with this argument, social capital and mixed embeddedness theories in entrepreneurship literature are being studied to develop a framework to examine refugee entrepreneurship phenomenon.

Social Capital and Mixed Embeddedness of Entrepreneurs

Discussing the role social capital plays in entrepreneurship is a prominent topic in business literature. The conventional view of social capital involves relationships of trust and reciprocity in social networks

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(Halpern, 2005; Mustafa & Chen, 2010; Ostrom, 2009). Social capital is a concept that refers to the ability of decision-makers (e.g. entrepreneurs) to draw on a pull of resources from their social networks (Lin et al., 1981; Portes, 1998). Social capital is defined as consisting of the networks, norms, relationships, values and informal sanctions that shape the quantity and co-operative quality of a society's social interactions (Cabinet Office, 2002; Deakins et al., 2007).

The social networks, values and relationships could be based on a number of different but complementary (or competing) networks that may include community, family and organisational business networks. According to Davidsson and Honig (2003), social capital is an 'umbrella term' covering a potential multitude of relationships between entrepreneurs, their families, their community and friends. Sirmon and Hitt (2003) see social capital as an important resource in the resource-based view (RBV) of a firm, where entrepreneurial and competitive advantage is derived from advantages obtained through this resources such as, interfirm resource exchange, interfirm learning, supplier interactions and the creation of intellectual capital. Bizri (2017) argues that because of barriers to integration, migrant entrepreneurs depend on social networks for the survival of their businesses. However, Deakins et al. (2007) argue that social capital is both a help and a hindrance to Ethnic Minority Business (EMB) owners. There is no doubt that the ability to call upon network sources for business advice is invaluable to new EMB owners, however, strong ties may be restrictive as well as being beneficial.

Deakins et al. (2007) cited the example of one young EMB owner who commented on how he decided that the advice from his family was inappropriate for the entrepreneurial risk-taking that he sought. This example suggests that reliance on advice from informal sources may not be the same as accessing advice from professionals. Focusing on refugee entrepreneurs, the question that may arise is: Do refugee entrepreneurs (especially at the business start-up stage) have access to professional business advice? This may also depend on the type of business venture they may be considering and the set of skills and other resources at their disposal. "An entrepreneur's networks are likely to be based on experience, which not only determines the range of contacts, but may also influence perceptions of opportunities and courses of action" (Cope et al., 2007, p. 214). The resounding perspective is that innovative entrepreneurs develop social capital through building networks which provide external sources of support, information, expertise and finance which allows mutual learning and boundary crossing.

However, Deakins et al. (2007) posit that the role of social capital during the business start-up stage and the later entrepreneurial development of EMBs is probably underrated. There is a gap in the existing literature regarding the role and significance of social capital on refugee entrepreneurship.

We posit that mixed embeddedness theory is also applicable to inquire about the social capital of refugee entrepreneurs. This theory has been a key concept in explaining the success of migrant entrepreneurs (Kloosterman et al., 1999). The mixed embeddedness theory agrees with Granovetter's (1985) position

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that all economic action is embedded in social relations that can either help (enable) or hinder (constrain) the development of a business. Early scholars have also argued that migrant entrepreneurs are not only connected with their family and social networks, but they are also economically embedded with their co-ethnic network which provides them with access to social capital, which is not generally available to the mainstream entrepreneurs (Bourdieu, 1986).

Migrant entrepreneurs are often lacking in financial or human/cultural capital; however, they are able to draw on their family and co-ethnic network to provide resources, labour and information which facilitates business success (Uzzi, 1997; Tata & Prasad, 2015). This socio-cultural/co-ethnic network is similar to the social capital theory (Bizri, 2017; Alrawadieh, Karayilan & Cetin, 2019; Shneikat & Alrawadieh, 2019; Kachkar, 2019). According to Bizri (2017), this action is referred to as opportunity-seizing proliferation. It is the relational dimension of social capital which is evidence of obligations towards family, and a sense of trust in family. An example of opportunity-seizing proliferation is Bootstrapping. This concept is described as a common practice of startup entrepreneurs who raise funds or reduce the costs of establishing business without resorting to borrowing (Yilmazer & Schrank 2006; Bizri, 2016; Bizri, 2017). Bootstrapping is considered as one of the key success factors of refugee entrepreneurs, and it is described as an amazing ability (Bizri, 2017).

Bizri (2017) argues that social capital is used by refugee-entrepreneurs to maximise the pool of opportunities in their host communities. Refugees living in densely populated residential conurbations are sometimes seen as obstacles to integration (Wilson, 1987; Iceland, 2014). However, Fajth and Bilgili (2018) explored the links between population density in residential areas and immigrant integration in the Netherlands and argued that there is a link between the former and social-economic and identification integration outcomes. This argument suggests that social capital presented by residential concentration can be leveraged for business start-up (Bizri, 2017; Alrawadieh, Karayilan & Cetin, 2019; Shneikat & Alrawadieh, 2019; Kachkar, 2019).

According to Adler and Kwon (2002), social capital is embedded in social relations and it can yield valuable resources and influence social interactions between individuals and result in collective actions. Social capital comprises of informal relations that influences behaviour and reallocation of resources that are important for innovation (Carmona-Lavado, Cuevas-Rodríguez & Cabello-Medina, 2010; Maurer, Bartsch, & Ebers, 2011; Camps & Marques, 2014).

The social capital approach has been criticised for over-emphasising the role of individual actors and their networks at the expense of context and the wider business environment (Ram & Jones, 2008; Waldinger et al., 1990; Barrett et al., 2002). For example, the concept of opportunity structure highlights the importance of market conditions, the size of the market domain, market accessibility and their growth potential, all of which affect business opportunities (Aldrich & Waldinger, 1990).

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Mixed embeddedness theory tends to agree with the concept of opportunity structure, but it advocates that the entrepreneur is embedded in their social network as well as the structure of the wider economic and political environment (Kloosterman et al., 1999; Meister et al., 2019). The balance between the supply side of entrepreneurs with their set of resources, on one hand, and the supply side of markets, on the other, is the basis upon which suitable business opportunities depend (Kloosterman et al., 1999). In refining the theory, Kloosterman (2010) presented three levels of analysis to explain the business opportunities open to migrant entrepreneurs. These are the macro, meso and micro levels of analysis (Kloosterman, 2010; Kloosterman & Rath, 2018)

The macro level consists of the economy and the broader institutional framework available in the host country, for instance, business regulations and legislation that dictate and impact the type of business activities which entrepreneurs can legally engage in. These macro level factors vary between countries and within countries over time. This variation explains the observable differences in the trajectory of immigrant entrepreneurship in different locations. For instance, there are more ethnic entrepreneurs in the largely deregulated Anglo-Saxon 'imperialist' or Australian 'colonial' economies, where establishing a business is relatively easy compared to most mainland European cities (Sepulveda et al., 2011; Barrett et al., 2002).

According to Kloosterman (2010), the meso level comprises markets that are crucial components of the opportunity structure, because without sufficient demand for a product or service, it is not possible for an entrepreneur to generate income. Markets that are typically accessible to migrants appear to be lower order sectors (Kloosterman, 2010; Obschonka & Hahn, 2018). Such markets are serving the co-ethnic market and are generally in declining sectors vacated by Indigenous entrepreneurs or in expanding but poorly rewarded markets, such as childcare or catering and other similar service industries (Kloosterman, 2010). Highly profitable opportunities, such as new technology sectors, are mostly open to those with higher levels of education and skills (Kloosterman, 2010).

At the micro level, Kloosterman (2010) posits that entrepreneurs can draw on their individual resources and the different forms of capital, such as social, financial and cultural/human resources which are available to them (Bourdieu, 1986). The mix of these different forms of capital will influence the nature of business development migrant entrepreneurs engage in (Ram et al., 2008; Bagwell, 2018). Because of financial shortages, migrants have to rely on co-ethnic social capital to support their businesses (Ram et al., 2008). An example of a Kurdish cargo bicycle manufacturer in Amsterdam who received financial support from his family back in Turkey to establish the business and decided to engage cheap family labour to run it was presented to explain the micro level analysis (Kloosterman, 2010).

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Mixed embeddedness theory has, however, not been used to study refugee entrepreneurship; instead, emphasis was laid on migrant entrepreneurs. There is a research gap about applying the social capital and mixed embeddedness theories, to study the unique features of refugee entrepreneurship.

Summary and conclusion

We believe that studying the phenomena of refugee entrepreneurship requires the development of a framework that encompasses the aforementioned five areas of refugee entrepreneurship. The framework can be developed based on the insights from the social capital and mixed embeddedness theories. This literature review can therefore be used to develop a conceptual framework that is currently lacking to study the refugee entrepreneurship phenomena. Equally important for understanding the refugee entrepreneurship phenomena is to find answers to the question of; what is the motivation for refugee entrepreneurs? What are the differences between refugee entrepreneurship and migrant/ethnic entrepreneurship? Is there a common trend/trends in refugee entrepreneurial behaviour? What are the effects or impact of fleeing on refugee entrepreneurial behaviour? We believe a contextualisation of the differences between these two types of entrepreneurship will add to existing knowledge in the study of entrepreneurship. In addition, research aimed at the development of a refugee focused entrepreneurship programme informed by evidence-based policy development is currently lacking. The development of a conceptual framework can be useful to conduct empirical research to find answers to these and other questions.

There is also the need for a comprehensive study that investigates refugee entrepreneurship as a means of socio-economic participation and resettlement. An ongoing study is investigating entrepreneurship and refugee socio-economic participation in New Zealand. The study is proposing a synthesis of social capital and mixed embeddedness theories as a framework applicable to the study of refugee entrepreneurship.

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Stream 5. Entrepreneurship and SMEs

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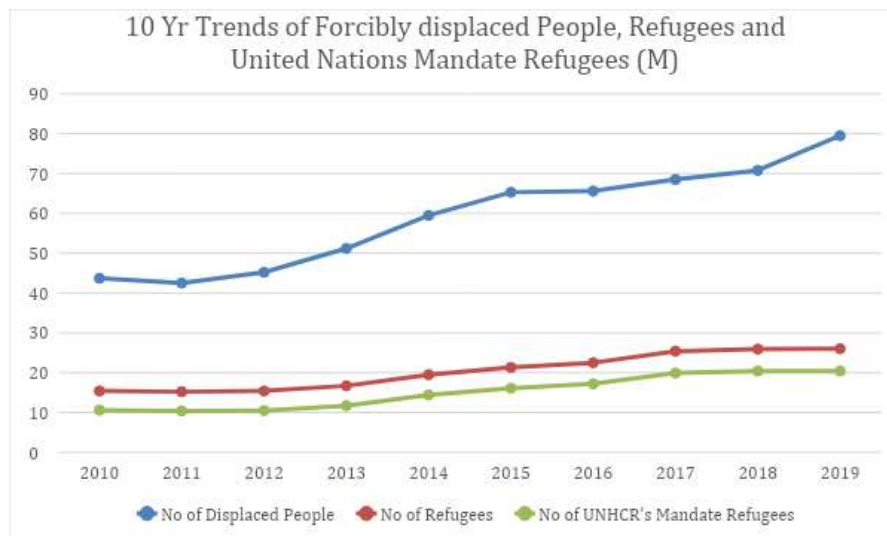
Figure 1: 10yr Trends of Displaced People, Refugees and UNHCR Mandate Refugees[1]

Figure 1: above shows an upward trend in the global numbers of forcibly displaced people, refugees and UNCHR's mandate refugees.

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[1] **Source:** Plotted based on numbers presented in United Nations High Commissioner for Refugees (UNHCR) annual reports of 2011 to 2020 (figures in Millions).

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Stream 5. Entrepreneurship and SMEs

Table 1: **Similar factors influencing necessity entrepreneurship and challenges of Refugees**

Some similarities between factors influencing necessity entrepreneurship and challenges of refugees[2]	
Push Factors of Necessity Entrepreneurship	Challenges of Refugees
- Survival drive - Unemployment - Lack of Income - Lack of job satisfaction - Low Family income - Flexibility to deal with family issues - Limited government support - Low level of social inclusion in the wider community - Comparatively low level of education - Institutional barriers - Social marginalisation	- Desire for survival - Unemployment - Lack of income - Low level/unskilled jobs - Low Family income - Social and psychological issues - Limited government support - Lack of social inclusion - Marginalisation - Issues with qualification recognition - Institutional barriers - Social marginalisation

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[2] Table based on information gathered from literature such as, Robichaud, LaBrasseur, and Nagarajan, 2010; Serviere, 2010; Werker, 2007; Jacobsen, 2002; Kucera 2001; Scheiber 2007; Fetz 2011; Kraler, Hollomey, Hurich, Konig and Muzak, 2013.

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2. Organisational Behaviour

Are New Zealand Workers Burnt to a Crisp?
Examining Determinants of Employee Burnt-Out

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Are New Zealand Workers Burnt to a Crisp?
Examining Determinants of Employee Burnt-Out

ABSTRACT: *Job burnout is a popular topic for researchers and a pressing issue for employees. Using the Burnout Assessment Tool (BAT) – this study provides the first validation of BAT in New Zealand using a sample of employees (n=1022) across a wide range of occupations, sectors, and industries. Overall, the psychometric properties of the BAT construct are supported. Further, 11.1% of employees met the burnt-out threshold. Six drivers were explored: perceptions of organizational support, manager status, firm size, age, and long work hours. All determinants were significant, and the calculations showed that in some categories such as working 55+ hours/week, the odds of becoming burnt-out differed radically (500% plus). The implications for understanding employee wellbeing are explored.*

Keywords: (burnout assessment tool; burnt-out; New Zealand; wellbeing; psychometric

confirmation).

INTRODUCTION

Schaufeli, De Witte, and Desart (2019) define job burnout as "a work-related state of exhaustion that occurs among employees, which is characterised by extreme tiredness, reduced ability to regulate cognitive and emotional processes, and mental distancing" (p. 29). It is important to examine employee job burnout because it is a grave problem facing workers due to strong links with poor mental health (Schaufeli et al., 2019; Sakakibara, Shimazu, Toyama, & Schaufeli, 2020; Schaufeli, De Witte, & Desart, 2020a, 2020b) including meta-analytic support (Koutsimani, Montgomery, & Georganta, 2019). Further, burnout has meta-analytic support to important workplace outcomes including job satisfaction (Alarcon, 2011) and absenteeism, turnover, and job performance (Swider & Zimmerman, 2010). While job burnout is a critical issue, there have been strong critiques of the most popular construct: Maslach Burnout Inventory (MBI) and what it does and does not measure. Schaufeli et al. (2019, 2020a, 2020b) has led the critique and offered an alternative: the Burnout Assessment Tool (BAT).

Importantly, the BAT allows researchers to assess a rate of burnout and create an antecedent of wellbeing outcomes. The new BAT construct has already been widely tested across European countries; its psychometric properties have only begun to be used in different cultures. For example, De Beer et al. (2020) tested the BAT on a sample of Japanese workers, while Haar (in press) has shown good psychometric properties using a sample of managers from New Zealand. Importantly, the BAT includes a cut-off criterion for assessing being burnt-out – the severest form of burnout. This can then able researchers to calculate odds ratios (see Haar, in press), "to compare the relative odds of the occurrence" (Szumilas, 2010, p. 227). However, while researchers have become to explore the role of stress in a Covid-19 world (see Saalwirth & Leipold, 2021; Liu, Lee, Lin, & Yang, 2021), there has been limited attention on burnout using BAT since the Covid-19 outbreak.

The present study uses Conservation of Resources (COR) theory (Hobfoll, 2001) to understand how various worker roles and experiences can impact their levels around being burnt-out and makes three contributions. First, we confirm the psychometric properties of the BAT-NZ using a large representative sample of New Zealand employees. Second, we calculate a burnt-out rate for New Zealand to enable benchmarking the potential stressors and strains of Covid-19. Importantly, this also provides insights into burnt-out rates in a Covid-19 world. Third, by testing important determinants, we gain understanding about the specific challenges that employees face from their organizations and associated roles. This can provide better insights into allaying pressures, for example through enhanced job design Calculating odds ratios also enables clearer insights into understanding determinants. Overall, this paper contributes to the burnout literature by providing new insights into burnout and being burnt-out amongst a large New Zealand sample and provides into the determinants that lead to burnt-out experiences.

Theoretical Approach: COR

COR theory is an integrated model of stress with Ghafoor and Haar (2019) stating "that individuals gain, retain and conserve their resources to manage stress and demands from the environment" (p. 12). Hobfoll, Halbesleben, Neveu, and Westman (2018) state it "begins with the tenet that individuals strive to obtain, retain, foster, and protect those things they centrally value" (p. 104). Hence, COR theory is useful in the study of burnout because it highlights that an employee needs more resources to manage the challenges of the workplace, and those that do not have sufficient resources, might be more likely to experience being burnt-out. COR theory has been used to explain being burnt-out (Haar, in press) and burnout using the BAT construct (see Otto, Van Ruysseveldt, Hoefsmit, and Van Dam, 2021a; Urbanaviciute, Roll, Tomas, & De Witte, 2020). Further, it is a core theory associated with job burnout research more generally (e.g., Hamama-Raz et al., 2020; Gabel Shemueli, Dolan, Suarez Ceretti, & Nunez del Prado, 2016).

Job Burnout - Traditional Approach.

Several articles critique the MBI and its approach to burnout (see Schaufeli et al., 2019, 2020a, 2020b; Haar, in press). In summary, there are issues around skewed respondent answers (Wheeler, Vassar, Worley, & Barnes, 2011) and time distance variations being problematic (Schaufeli et al., 2020a). The MBI also has the professional efficacy dimension which behaves differently from the other burnout dimensions (Schaufeli et al., 2019, 2020a; Worley, Wheeler & Barnes, 2008). Indeed, there are factor structure issues with the three dimensions (see Van Heule, Rosseel, Vlerick, Van de Ven, & Declercq, 2012). Further, the MBI construct does not allow for a single burnout score and indeed, this is discouraged (see Maslach, Jackson, Leiter, Schaufeli, & Schwab, 2017). Schaufeli et al. (2020a) suggests this makes

the MBI a burnout investigative tool but not a diagnostic tool. This is despite the literature and broader society reflecting that some people feel 'burnt-out'. Beyond a lack of the MBI being based on any theoretical notion (Schaufeli et al., 2019), there are also issues around important but missing conditions. For example, reduced cognitive functioning is well established as being a factor in burnout (Deligkaris, Panagopoulos, Montgomery & Masoura, 2014).

New Approach (BAT).

The BAT seeks to counter the aforementioned issues and consists of four primary and three secondary dimensions. Haar (in press) notes the BAT can act as "a diagnostic tool for assessing burned-out employees" (p. 4). The BAT was developed through capturing the burnout process, via 49 in-depth interviews with psychologists, general practitioners, and occupational physicians (for more details see Witte & Desart, 2019). Witte and Desart (2019) note this research focused on the symptomology of burnout and its dynamics including causes. Ultimately, four dimensions represent burnout in the BAT: (1) exhaustion, (2) mental distance, (3) emotional impairment, and (4) cognitive impairment. These reflect either the inability (exhaustion, emotional and cognitive impairment) or the unwillingness (mental distance) to exert effort at work (Haar, in press). Exhaustion is characterised by "tense emotional reactions and feeling overwhelmed by one's emotions. Specific symptoms include feeling frustrated and angry at work, irritability, overreacting, feeling upset or sad without knowing why, and feeling unable to control one's emotions at work" (Schaufeli et al., 2019, p. 27). While a key dimension, exhaustion alone is not sufficient to have burnout issues (Witte & Desart, 2019).

Schaufeli et al. (2019) defines mental distance refers to "psychologically distancing oneself from the work is indicated by a strong reluctance or aversion to work" (, p. 28). For example, an employee feels psychologically uninterested in their job, leaving them to avoid work contacts and having a cynical attitude (Schaufeli et al., 2019). Haar (in press) reflects that with mental distancing, employees' function on autopilot. Schaufeli et al. (2019) defines emotional impairment as "feeling frustrated and angry at work, irritability, overreacting, feeling upset or sad without knowing why, and feeling unable to control one's emotions at work" (p. 27). Witte and Desart (2019) note this refer to the reduced functional capacity to adequately regulate emotional processes, leaving workers unable to control emotions at work (e.g., bursting into tears). The last dimension is cognitive impairment, which Schaufeli et al. (2019) define as "memory problems, attention and concentration deficits and poor cognitive performance" (p. 27). Such impairment might include symptoms of being absent-minded, failing to think clearly, and having deficiencies in memory, concentration, and attention (Schaufeli et al., 2019). Cognitive impairment leads

to absentminded behaviors, poor memory, and ultimately, poor work concentration (Witte & Desart, 2019).

BAT Supporting Evidence.

There is strong empirical evidence that the four BAT dimensions relate to a higher-order construct of burnout (see Schaufeli et al., 2020a, 2020b; Spagnoli, Buono, Kovalchuk, Cordasco, & Esposito, 2021; Sakakibara et al., 2020; Hadibarjramovic, Schaufeli, & De Witte, 2020; Haar, in press). Empirical studies show that BAT is significantly related to detrimental work outcomes – specifically lower work engagement and higher turnover intentions (Sakakibara et al., 2020). It is also detrimentally related to well-being, being positively related to psychological and psychosomatic complaints (Nellestijn, 2019; Spagnoli et al., 2021; Sakakibara et al., 2020). Dispositional factors are also related, with workaholism positively related to burnout (Sakakibara et al., 2020), as is perfectionism concerns (Spangnoli, Buono, Kovalchuk, Cordasco, & Esposito, 2021). Otto et al. (2021a, 2021b) found towards burnout, that self-efficacy and optimism were negatively related. Hence, the job burnout constructs operates as we would expect.

Schaufeli et al. (2020a) use the diagnostic tool to assess employee's burnout using a traffic light system: (1) green zone, employees have low to modest levels of burnout, and this is normal. They are at the lowest risk of becoming burnt-out. (2) orange zone, are categorised as being at high risk of burning out, while (3) red zone represents the highest-scoring zone and those suffering severe burnout or being burnt-out. Haar (in press) reflects that being burnt is the critical tipping point, where "burnout has become so intense that it severely affects workers" (p. 5). Using pre-Covid-19 data, Schaufeli et al. (2020a) found modest burnt-out rates in the Netherlands (5%) and in Belgium (8%). Haar (in press) reported a burnt-out rate of 11.3% using data from February 2020, a time when Covid-19 was being covered on the New Zealand news, but before any Covid-19 related lockdowns. The present study initially seeks to investigate the psychometric properties of BAT. De Beer et al. (2020) used seven different cross-national representative samples (Netherlands, Belgium, Austria, Ireland, Finland, and Japan) and found support for BAT across all national samples. Haar (in press) similarly found support for BAT using a manager only sample. However, the New Zealand employee population remains untested. Given the consistent evidence around BAT in European samples and the more culturally distinct Japan, we expect the BAT factor structure will similarly be robust in New Zealand. We posit the following.

Hypothesis 1. The BAT dimensions around (a) exhaustion, (b) mental distance, (c) emotional impairment, and (d) cognitive impairment will be robust in a New Zealand sample of employees.

≡ INDEX

HYPOTHESES

Our first determinant of being burnt-out is perceived organizational support (POS), which reflect employee perceptions around how much their organization values them and cares for their wellbeing (Eisenberger, Huntington, Hutchison & Sowa, 1986). Under COR theory, high levels of perceived organizational support are seen as providing more resources for employees, because they know that support is available when needed (Kurtessis et al., 2017). In the context of being burnt-out, POS "is also valued as assurance that aid will be available from the organization when it is needed to carry out one's job effectively and to deal with stressful situations" (Rhoades & Eisenberger, 2002; p. 698). Hence, POS reflects an organizational climate where workloads are better managed and employees under greater stress are sought out and helped before they might achieve severe burnout. Meta-analysis supports POS being negatively related to strains (Rhoades & Eisenberger, 2002) and burnout (Kurtessis et al., 2017). Hence, we expect workers with higher POS will report lower burnt-out rates.

Hypotheses 2: POS will be negatively related to burnt-out rates.

The next set of determinants reflect workplace and individual demographics. We build off the findings of Haar (in press) and hypothesize that managers will report higher burnt-out rates than non-managers. Research shows managers are more likely to be stressed than general employees (Schieman & Reid, 2009) due to job complexities (Haar, Roche, & ten Brummelhuis, 2018) and the toll of managing in turbulent environments (Roche, Haar & Brougham, 2018). Hence, we expect managers to report higher burnt-out rates than employees without managerial responsibilities because they suffer greater drains on their resources. Haar (in press) also found firm size to be a determinant of burnt-out rates, reflecting that larger-sized firms operate in more competitive environments, which can create additional pressure on workers (see Haar, O'Kane, & Daellenbach, 2021). However, that study specifically targeted managers. Here though, we similarly argue that working in a larger-sized firm can expose the employee to greater pressures and bureaucracy and red-tape, acting as a drain on personal resources otherwise sued to combat work pressures (Hobfoll et al., 2018). Hence, employees in larger-sized firms are expected to report higher levels of being burnt-out. We posit the following.

Hypotheses 3: Burnt-out rates will be higher for (a) managers, and (d) those working in larger-sized firms.

Our next determinants are age and hours worked, with age enjoying solid meta-analytic support, with Brewer and Shapard (2004) finding younger employees are more likely to suffer burnout. In their meta-

analysis, Ng and Feldman (2010) found solid support for age being negatively related to burnout. Under COR theory, we argue that younger employees lack the work experience (and coping experience) of older workers, and thus are not able to manage workplace stressors, ultimately leaving them more vulnerable to being burnt-out. Regarding work hours, there is also meta-analytic support towards job stress and mental strains (Ng & Feldman, 2008), with work hours being positively related. Similarly, Amoafo, Hanbali, Patel, and Singh (2015) conducted a review of studies on medical doctors and found long work hours was "predictive of burnout syndrome" (p. 117). Recently, Pega et al. (2021) conducted global research on long work hours and found those working 55 hours/week or more were 17% more likely to suffer fatalities via heart disease. Under COR theory, long work hours result in a drain of resources leaving workers with fewer resources to manage their wellbeing, resulting in higher burnout.

Hypotheses 4: Burnt-out rates will be higher for (a) younger employees, and (b) those working 55 hours or more/week.

METHODS

Participants and Sample.

Data for the present study were collected from a CINT survey panel targeting employees in May 2020. CINT offers an extensive database of thousands of New Zealand employees (see Haar, in press, for more details). These panels invite potential respondents, and they chose to participate (doing the online survey) and are paid for their participation. This survey included a number of entry requirements (1) being in paid work, and (2) working at least 20 hours/week. Respondents not meeting such criteria are excluded. Participants are removed if they complete the survey too fast or slow. A representative sample of New Zealanders was sought, and while 1000 respondents were targeted, ultimately 1022 fully completed responses were collected. Such panel approaches have yielded positive samples (e.g., Ghafoor & Haar, 2019; Haar, in press). In their meta-analysis between conventional data collection (e.g., mail surveys) and panel sourced data, Walter, Seibert, Goering, and O'Boyle (2019) found no significant difference in data quality between these approaches. Overall, respondents were fairly even by gender (55% female), 33% were essential workers, 31% were managers, and had an average age of 39.3 years (SD=13.9). Thirty three percent of respondents were aged under 30 years, and respondents averaged 33.4 hours work/week (SD=11.0), with 4% reporting 55 hours or more. By firm size, 38.0% worked in a larger sized firm with 51+ employees (SD=48.6%) and by sector, 64.3% worked in the private sector, 30.6% the public sector and 5.1% not-for-profit sector.

Measures.

Job Burnout was measured using the 23-items of the BAT scale and its 23 items, coded 1=never to 5=always. Given this is the first New Zealand employee study, we call the instrument BAT-NZ. The items measure the four core symptoms of burnout: exhaustion (8-items, sample "When I get up in the morning, I lack the energy to start a new day at work" α=0.91), mental distance (5-items, sample "I'm cynical about what my work means to others", α=0.86), emotional impairment (5-items, sample "I get upset or sad at work without knowing why", α=0.93), and cognitive impairment (5-items, sample "When I'm working, I have trouble concentrating", α=0.91). In their study of 1500 employees each from the Netherlands and Belgium, Schaufeli et al. (2020a, 2020b) showed the data fit the constructs best across the four dimensions. The analysis showed that the four dimensions are highly correlated (.82 < r > .54), making combining the dimensions appropriate. Here, the constructs were similarly highly correlated (.74 < r > .61). We conducted confirmatory factor analysis (CFA) in AMOS (version 26) to confirm the BAT-NZ factor structure. Regarding goodness-of-fit indices, common guidelines in the literature were followed (e.g., Hu & Bentler, 1998; Williams, Vandenberg, & Edwards, 2009): (1) the comparative fit index (CFI ≥.90), (2) the Tucker-Lewis index (TLI ≥.90), (3) the root-mean-square error of approximation (RMSEA ≤.08), and (4) the standardised root mean residual (SRMR ≤.10). This resulted in a good fit to the data: $\chi2$(df)= 1209.6(224), CFI=.94, RMSEA=.07, and SRMR=.05. We confirmed the hypothesised construct structure by testing alternative CFAs, with BAT dimensions combined (e.g., exhaustion and mental distance, and emotional and cognitive impairment). Chi-squared difference test showed these were all a poorer fit to the data (all p< .001) compared to the hypothesised model (Hair, Black, Babin, & Anderson, 2010). Next, we tested a higher-order model with the four dimensions loading onto a single factor (job burnout), and this demonstrated an excellent fit to the data: $\chi2$(df)= 1256.8(229), CFI=.94, RMSEA=.07, and SRMR=.06. Following the logic of Hadzibajramović, Schaufeli, and De Witte (2020), we combined the dimensions to create the job burnout scale (α=.96).

Burnt-Out was calculated using guidelines from Schaufeli et al. (2020a, 2020b). The burnt-out focus brings a new direction in the burnout literature (Haar, in press). We took the combined job burnout scale and calculated being burnt-out using the cut-off of ≥ 3.30, which Schaufeli et al. (2020a) refer to as employees suffering serious burnout (in the red zone). Following Haar (in press) we call this being burnt-out. We coded respondents 1=burnt-out (job burnout Mean ≥ 3.30), or 0=not burnt-out (job burnout Mean < 3.30). The calculation of the burnt-out scale threshold was done using Rasch analysis (for more details see Hadzibajramović et al., 2020).

Antecedents.

POS was measured using the 8-item short construct by Eisenberger, Huntington, Hutchison, and Sowa (1986), coded 1=strongly disagree, 5=strongly agree. Questions followed the stem "My organization…" and a sample item is "The organization really cares about my well-being" (α=.86). Given the focus on odds-ratios here, I also calculated a High POS at Mean +1SD (1=POS ≥ 4.45, 0=POS< 4.45). This captured 17.1% of respondents. This reflects those reporting the highest levels of organizational support for employee wellbeing.

Manager was measured by asking employees if they managed people (1=yes, 0=no). Firm Size was coded 1=medium and large sized firms (51+ employees) and 0=small firms (50 employees or less). Young Employee was calculated off employee age in years (1=aged less than 30 years, 0=over 30 years). 55 Hours Work Plus was calculated off employee hours worked/week (1=55 hours/week or more, 0=54 hours/week or less).

Analysis.

Hypothesis 1 was tested above using CFA in AMOS (version 26). Hypotheses 2-5 were tested in SPSS (version 26) using binary regression with burnt-out as the dependent variable. We used bootstrapping (5,000 times) and provide confidence intervals.

RESULTS

The CFA in AMOS (detailed above) supports Hypothesis 1. Descriptive statistics for the study variables are shown in Table 1.

Insert Table 1 about here

Table 2 shows that the individual BAT dimensions, the overall job burnout construct, and being burnt-out, are all significantly correlated to POS (all r >.25, p< .01). Dichotomous variables are not shown (although the burnt-out rate is due to its critical focus here). The analysis showed 11.1% of respondents reported being burnt out. Results of the odds-ratio (from the binary regression) are shown in Table 2.

Insert Table 2 about here

With the dependent variable being burnt-out, the results of and resulting odds-ratios are presented here for the various antecedents. Table 1 shows POS is significantly and negatively correlated with burnt-out (r= -.16, p< .01). Top POS was used for the odds-ratio calculations. Overall, significant odds-ratios are found for top POS (-631.4%, p< .001), managers (220.5%, p< .001), those working in larger-sized firms (217.4%, p< .001), younger workers (210.8%, p< .001), and those working 55 hours/week or more

(500.8%, p< .001). These findings support Hypotheses 2-4. The bottom of Table 2 shows specific percentage burnt-out rates for each category.

DISCUSSION

The first focus of the present study was to establish the psychometric properties of the BAT-NZ. This is because the only other analysis specifically targeted managers (see Haar, in press). The confirmation of solid psychometric properties extends the countries that have supported the new BAT construct. Specifically, the present study extends De Beer et al. (2020), confirming BAT across seven samples (Netherlands, Belgium, Austria, Ireland, Finland, and Japan). Importantly, a nationally representative sample of employees was used, which provides strong confidence these findings can be generalised across the New Zealand population. The analysis confirmed the factor structure of BAT and supported a higher-order construct. Importantly, this study found a burnt-out rate of 11.1%, which is like the 11.3% of managers only from New Zealand (Haar, in press) albeit pre-Covid-19. Like the New Zealand managers study, the current finding is significantly higher than the 5% and 8% burnt-out rates from the Netherlands and Belgium respectively (Schaufeli et al., 2020a).

Haar (in press) reflected that the "higher burnt-out rate might reflect the fact the present study is managers only" (p. 14), although a similar rate is found here. Specifically, towards managers though, a burnt-out rate of 17% (compared to 8% for employees) was found. This suggests, given the present data collection was in May 2020 compared to February 2020 (Haar, in press) that the higher burnt-out rate might reflect some Covid-19 related factors. The literature suggests managers face higher job complexities (Haar et al., 2018) and potentially greater pressure when managing in turbulent environments (Roche et al., 2018). The high manager burnt-out rate likely reflects the challenges of managing people and organizations through Covid-19 and encourages further research to understand whether these pressures remain heightened, even in a setting (New Zealand) which has enjoyed minimal Covid-19 infections.

The odds ratio findings also supported the other findings, including around POS. The odds ratio showed that employees working for organizations perceived as being top in caring for employee wellbeing were only 2% likely to be burnt-out, compared to 13% for all others. This supports the broader literature around POS and wellbeing (Rhoades & Eisenberger, 2002) and burnout (Kurtessis et al., 2017). Similarly, long work hours have been seen as a perennial issue to worker wellbeing (Ng & Feldman, 2008; Amoafo et al., 2015), including a global study highlighting the increased death rate (see Pega et al., 2021). The present study reinforces these finding with those working 55 hours/week or more having a burnt-out rate of 36% compared to 10% for those working lesser hours. This highlights the danger of long work hours

towards burnout.

Beyond the above contributions to the BAT literature, we also found workers in larger-sized firms do react detrimentally to size related pressures (see Haar, in press), reporting burnt-out rates much higher (16%) compared to those in smaller-sized firms (8%). Similarly, higher burnt-out rates were found for younger workers – those aged under 30 years (16%) compared to older workers (8%). This aligns with meta-analyses (Brewer & Shapard, 2004; Ng & Feldman, 2010) and highlights a potentially dangerous aspect where so many young employees might experience being burnt-out. Overall, the study provides useful insights into our understanding of experiencing burnt-out and the determinants. This adds to our understanding, not only of the burnt-out phenomenon, but also provides a much-needed benchmark for burnt-out rates (here in New Zealand), at a time just after the Covid-19 pandemic national lockdown. While other countries still grapple with Covid-19 including continuing lockdowns, the current study does support other studies showing a danger from people dealing with Covid-19 (e.g., Saalwirth & Leipold, 2021; Liu et al., 2021).

Implications.

The current study provides important evidence regarding burnt-out status, which has important implications for Human Resource (HR) managers and departments. Given the links between quantitative and qualitative work demands and burnout (Sakakibara et al., 2020), an important implication for organizations is managing workloads. Providing managers with training and development, around setting workloads and workforce management of such loads. Greater job sizing may play a part in managing the burnt-out rate amongst their workforces. Workplaces might also audit and establish their own burnt-out levels – including the danger (orange) zone, and then providing targeted training for employees to recognize the warning signs of burnout. Indeed, focusing on workload issues aligns with New Zealand legislation, around occupational health and safety (see Lamm, Moore, Nagar, Rasmussen, & Sargeant, 2017). Specifically, Haar (in press) noted "The Health and Safety in Employment Amendment Act 2002 highlights that employers are responsible for workplace harm" (p. 15), with such harm including mental harm from work stress.

Importantly, the present study also identifies occupations and groups that are more at risk. This includes managers, young workers, those in larger-sized firms, and employees working 55 hours/week or more. Interestingly, amongst these variables, long work hours correlated significantly with manager status ($r = .12$, $p < .01$) and young workers ($r = -.07$, $p = .034$), highlighting that these factors are largely independent. But organizations can use these findings to provide insights into potential threats facing their

workforces. Clearly one positive avenue is the development of stronger POS amongst an organization's workforce. Thankfully, meta-analysis shows us that HR practices (e.g., developmental opportunities) and work conditions (e.g., autonomy) can aid the development of POS (Kurtessis et al., 2017). Similarly, reducing organizational politics and strengthening organizational justice will also help build POS (Kurtessis et al., 2017).

There are also multiple research implications from this study. Importantly, the BAT has been used to predict wellbeing outcomes (see Schaufeli et al., 2019; Sakakibara et al., 2020; Schaufeli et al., 2020a, 2020b), and further replication of these relationships – especially as currently untested in New Zealand – is encouraged. Further, testing moderators to determine whether dispositional factors, such as psychological capital or organizational-based self-esteem (see Ghafoor & Haar, 2019, 2021) play a buffering role in the experiences of burnout, or their further influence on wellbeing outcomes, is warranted. Additionally, testing the BAT as a mediator of the influence of leadership or organizational climate towards wellbeing outcomes, might also provide useful insights. Indeed, studies exploring moderated mediation might produce new insights and challenges. Finally, researchers should provide greater attention to gaining burnt-out benchmarks to provide much needed insights into these levels. This might be especially prevalent as globally; we still deal with Covid-19. It might be especially important for such levels to be explored over time to determine whether workforce mental health improves once the Covid-19 pandemic becomes well managed.

Limitations.

Common method variance (CMV) is a potential concern with many studies. However, the primary function of the present study was to establish the psychometric properties of the BAT-NZ and then conduct binary regression from mainly demographic variables, which are less likely to produce significant effects due to CMV. Further, Haar, Russo, Sune, and Ollier-Malaterre (2014) suggested that alternative CFA model testing provides stronger confidence in study variables, suggesting the psychometric properties of constructs are distinct, and thus not conflated by CMV. However, following suggestions from Podsakoff, MacKenzie, Lee, and Podsakoff (2003), two post-hoc tests were conducted. First, Harman's One Factor Test produced the largest factor that accounted for 37% of the variance, well below the CMV threshold. Second, Lindell and Whitney's (2001) procedure were conducted, with a partial correlation controlling for an unrelated construct, here job mobility (3-items, Haar et al., α= .79). This saw no change in correlation strength, suggesting CMV is not evident. Overall, the study had a large and representative sample of New Zealand employees, spread across a broad range of sectors and industries,

providing confidence in the generalizability of the data.

Conclusion.

The present study provided useful psychometric evidence for the BAT-NZ. It provided a 11.1% burnt-out rate, which provides New Zealand's first benchmark data on being burnt-out across the population. Further, the data provides some of the world's first post Covid-19 outbreak data and shows compared to some data pre-outbreak (see Schaufeli et al., 2020a; Haar, in press), that the incidence of burnout and being burnt-out appears to be significantly higher. Overall, the odds ratio analysis highlighted significant differences across support perceptions, manager, firm size, hours worked and age, providing organizations with valuable insights into better understanding the determinants of being burnt-out. Given that burnt-out consequences are highly detrimental, this should encourage organizations and HR managers to better manage the critical factors identified. The findings provide a societal-level alarm bell around growing burnout and the wellbeing of New Zealand employees.

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Table 1. Correlations and Descriptive Statistics of Study Variables

Variables	Mean	SD	1	2	3	4	5	6	7
1. Exhaustion	2.72	.81	--						
2. Mental Distance	2.44	.86	.67**	--					
3. Emotional Impairment	2.24	.85	.66**	.68**	--				
4. Cognitive Impairment	2.06	.85	.62**	.63**	.73**	--			
5. Job Burnout	2.36	.73	.85**	.86**	.89**	.86**	--		
6. Burnt-Out	.11	.31	.54**	.58**	.60**	.63**	.68**	--	
7. POS	3.65	.80	-.39**	-.46**	-.30**	-.36**	-.44**	-.26**	--

N=1022, *p<.05, **p<.01.

Table 2. Odds-Ratios to Burnt-Out & Details

	Variables	Odds Ratio	Confidence Intervals	p-value
1.	Top POS (top 17.1%)	-6.314	LL= -2.30, UL= -17.36	p<.001
2.	Manager	2.205	LL= 1.48, UL= 3.28	p<.001
3.	Firm Size	2.174	LL= 1.47, UL= 3.23	p<.001
4.	55 Hours/Week Plus	5.008	LL= 2.46, UL= 10.19	p<.001
5.	Young Worker	2.108	LL= 1.42, UL= 3.13	p<.001

	Variables	Burnt-Out Percentages (by Groups)
1.	Top POS	2%
	Other POS	13%
2.	Manager	17%
	Employee	8%
3.	Large-Sized Firm	16%
	Small-Sized Firm	8%
4.	55 Hours/Week Plus	36%
	54 Hours/Week or Less	10%
5.	Young Worker	16%
	Older Worker	8%

All differences are statistically significant.

2 (OB) – Turning Negative Feedback into Positive Outcomes

Turning Negative Feedback into Positive Outcomes: Increasing Job Effectiveness Through Understanding Trust as a Process

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Turning Negative Feedback into Positive Outcomes: Increasing Job Effectiveness Through Understanding Trust as a Process

ABSTRACT

In this paper we draw on the trust as a process literature to examine linkages between negative feedback and increased job effectiveness. We highlight how the trust belief and the trust decision are two critical mechanisms through which negative feedback is analysed and processed before it is implemented as a trust behaviour. We discuss how our conceptual model and related propositions, which include situational and psychological moderators, are positioned to better understand the relationship between trustees and trustors.

Key words: Trust, negative feedback, vulnerability, job effectiveness

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A workforce of effective employees is the *holy grail* of any organisation. Turbulent times such as the COVID-19 pandemic challenge the status quo of what we know about employee effectiveness and require scholars and practitioners alike to reinvestigate factors contributing to employee effectiveness under new working conditions. Trust and feedback are both fundamental concepts that influence employee effectiveness. The myriad benefits of trust in the workplace, such as increased job performance, job satisfaction, communication, motivation, and commitment, have been established in numerous studies (Dirks & Ferrin, 2001, 2002). The power of feedback has also been extensively explored (Ammons, 1956; Ilgen, Fisher, & Taylor, 1979; Kluger & DeNisi, 1996). While some studies have linked trust and feedback, there is a gap in our understanding of the relationship between trust and negative feedback. Anchoring our argument in Dietz and Den Hartog's concept of trust as a process (2006), we offer a novel lens for understanding this relationship and how it impacts job effectiveness.

FEEDBACK

Employee effectiveness is contingent on individual learning and growth. One way to ensure learning and growth is by providing guidance in the form of feedback (Ilgen & Davis, 2000; Ilgen et al., 1979). Generally, *positive* feedback (i.e., praise and encouragement) is well accepted and applied (Anseel & Lievens, 2006; Brett & Atwater, 2001; Feys, Anseel, & Wille, 2011; Ilies, De Pater, & Judge, 2007). However, despite the maturity of feedback research (Anseel, Van Yperen, Janssen, & Duyck, 2011; Hu, Chen, & Tian, 2016; Ilgen et al., 1979; Kluger & DeNisi, 1996; Shepherd, Patzelt, & Berry, 2019), under what circumstances *negative* feedback is accepted and acted upon remains unclear. In other words, while providing feedback has been established to be important, it does not magically develop skills and performance (Kim & Kim, 2019; Winstone, Nash, Parker, & Rowntree, 2016). Researchers have investigated the effects of multiple feedback dimensions to solve this conundrum. Among these are (1) characteristics of the feedback source, such as credibility, position and power (Bell & Arthur, 2008; Winstone et al., 2016), (2) the characteristics of the recipient, such as goal orientation and self-awareness (Anseel et al., 2011; Cianci, Klein, & Seijts, 2010; Van-Dijk & Kluger, 2004), (3) how the message is framed (Butler, Godbole, & Marsh, 2013; Feys et al., 2011;

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Lipnevich & Smith, 2009; London, Smither, & Adsit, 1997; Waung & Jones, 2005), and (4) situational factors such as those which contribute to nuanced organisational climates (Anseel et al., 2011). Yet, the underlying psychological and situational mechanisms that translate negative feedback into positive outcomes are inconclusive. Understanding these mechanisms becomes increasingly relevant given newly accepted relationship and communication norms (e.g., virtual versus in-person) as a response to the COVID-19 pandemic. It is this paradox that drives our inquiry.

THEORY DEVELOPMENT: PROCESSING OF NEGATIVE FEEDBACK

Negative feedback potentially triggers feelings of vulnerability by the recipient. As most definitions of trust build on the concept of vulnerability, we contend that the processing of negative feedback can be viewed in a similar way as to how *trust as a process* has been established (Dietz & Den Hartog, 2006). Drawing on trust as a process, as opposed to trust as a psychological state (Mayer, Davis, & Schoorman, 1995; Rousseau, Sitkin, Burt, & Camerer, 1998), enables us to conceptualise the *processing of negative feedback* as (a) the acceptance of negative feedback, (b) the reassessment of self, and (c) the implementation of negative feedback.

Acceptance of Negative Feedback: A Trust Belief

We propose that the perception of the negative feedback provider can be reflected as the *trust belief* (i.e., holding "positive expectations") (Dietz & Den Hartog, 2006). We argue that the feedback source is, in addition to previously established beneficial feedback characteristics, such as credibility, position, and power (Bell & Arthur, 2008; Fedor & Ramsay, 2007; Fedor, Rensvold, & Adams, 1992; Ilgen et al., 1979; Winstone et al., 2016), assessed in terms of trustworthiness (i.e., *ability*, *benevolence*, *integrity*) and perceived or felt trust (Mayer et al., 1995). This feedback source assessment forms the trust belief and leads to either acceptance or rejection of the negative feedback. In other words, the valence of the trust belief will impact how the recipient considers the received feedback. Simply, a positive trust belief will be more likely to result in a critical reassessment of the recipient's own performance and capabilities in the subsequent step. Psychological factors, such as locus of control, learning goal orientation, intrinsic motivation, organisational identification, and

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one's mindfulness (Anseel et al., 2011; Cianci et al., 2010) also impact how the trust belief informs the subsequent *trust decision*.

Reassessment of Self: A Trust Decision

The recipient's decision to process negative feedback can be explained by the *trust decision*. In this second stage a reassessment of individual capabilities by the recipient of the feedback is required. This is in line with research highlighting the need for reflecting negative feedback before it can be actioned (Anseel, Lievens, & Schollaert, 2009). Framed in trust parlance, the recipient of negative feedback requires a "willingness to be vulnerable" (Mayer et al., 1995; Rousseau et al., 1998). In other words, to act on, and sustainably implement negative feedback the recipient must first acknowledge his or her own vulnerability. We argue that this line of thinking has been previously under-explored and provides a framework to better understand the circumstances under which negative feedback is accepted and consequently acted upon. Conceptualising the reassessing of self in the form of a trust decision can explain inconsistencies in the exant feedback literararture.

Specifically, the contradictions pertaining to the effectiveness of vague versus specific feedback (Feys et al., 2011; Goodman, Wood, & Chen, 2011; Ilgen et al., 1979). For example, the long-held assumption that a high amount of specificity of negative feedback is beneficial for acceptance (Ilgen et al., 1979) has been challenged by Feys et al. (2011) who state that negative feedback situations can benefit from low information specificity, as unfavourable reactions are diminished. However, the literature remains unclear whether favouralbe reactions to negative feedback also result in feedback implementation and, subsequently, in employee effectiveness. Our proposed model can offer a blueprint of the internal cognitive process and conceptually support the stream of research claiming benefits of high specificity. This means that on the one hand, more favourable reactions to ambiguous negative feedback could potentially stem from the use of cognitive escape routes and external attribution (Baron, 1988; Sheldon, Dunne, & Ames, 2014). In our model terminologies this indicates that there is 'no need to be vulnerable'. In other words, the recipient of ambiguous negative feedback does not fully process the feedback through the reassessement of self (i.e., *trust decision*), and misses an opportunity to learn and personally grow. On the other hand, when

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alternative explanations (e.g., external attribution) are minimised through specific, internally attributed feedback, recipients of negative feedback are pressured to reassess personal performance and shortcomings. In this scenario, the recipient of specific negative feedback only considers a reassessment of self (i.e., *trust decision*) if he or she operates based on 'positive expectations' and is 'willing to be vulnerable'.

Implementation of Negative Feedback: A Trust Behaviour

However, accepting negative feedback and reassessing the self does not translate into action by default. In trust jargon, the willingness to be vulnerable is not actual vulnerability (Dietz & Den Hartog, 2006; Nienaber, Hofeditz, & Romeike, 2015). Actual vulnerability, in our context acting on the decision to accept and process negative feedback, manifests in *trust behaviour*. This, we argue, promotes adaptive behaviour in the form of personal bricolage and individual innovative behaviour (Baker & Nelson, 2016), which increases job effectiveness. We therefore propose that vulnerability, as a precondition for, and *result* of (felt) trust, can manifest not only in (1) reliance behaviour (i.e., shared control) and (2) disclosure behaviour (i.e., sharing sensitive information) (Nienaber et al., 2015), but also in (3) adaptive behaviour (i.e., personal bricolage). Furthermore, the higher the *degree of trust* (Lewicki & Bunker, 1995, 1996) that the recipient has in the provider of the feedback, the more likely recipients of negative feedback are to adapt their behaviour. Situational factors, such as collectivist versus individualistic culture, power distance within and between levels of the organisation, involvement and goal orientation environment will influence this relationship.

MODEL AND PROPOSITIONS

Our conceptual model appears as Figure 1. We propose the following propositions:

> **Proposition 1.** *The relationship between receiving negative feedback and the implementation of negative feedback (i.e., trust behaviour) is moderated by the degree of trust the recipient has in the provider in the way that the likelihood of negative feedback being implemented increases when the degree of trust increases.*
>
> **Proposition 2.** *The relationship between receiving negative feedback and the implementation of negative feedback (i.e., trust behaviour) is mediated by the acceptance of negative feedback (i.e., trust belief) and the reassessment of self (i.e., trust decision).*
>
> **Proposition 3.** *There is a positive relationship between the acceptance of negative feedback (i.e., trust belief) and the reassessment of self (i.e., trust decision), such that the recipient of*

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negative feedback is more likely to reassess the self in favor of the negative feedback as the acceptance of negative feedback increases.

Proposition 4. *Psychological factors (i.e., self-esteem, learning goal orientation, intrinsic motivation, organisational identification, locus of control, and mindfulness) positively moderate the relationship between the acceptance of negative feedback (i.e., trust belief) and the reassessment of self (i.e., trust decision), such that the relationship increases as psychological factors increase.*

Proposition 5. *The implementation of negative feedback has a positive effect on job effectiveness.*

Proposition 6. *Situational factors (i.e., collectivism, low power distance, involvement orientation, and goal orientation priming) positively moderate the relationship between the implementation of negative feedback and job effectiveness, such that the relationship increases as situational factors increase.*

Understanding this *trust-feedback process* becomes increasingly important for anyone challenged to navigate a post-COVID-19 working environment. With continuous change in delivery-mode and interaction-frequencies, understanding how employees can be guided towards increased job effectiveness through building trust first becomes a make or break competency for any manager.

--- Insert Figure 1 about here ---

CONCLUSION

By adopting a trust lens and taking a process approach to the relationship between negative feedback and vulnerability we offer new ways to explore behaviour between trustees and trustors. Specifically, we add to the literature on vulnerability and propose that vulnerability can manifest in adaptive behaviour (i.e., personal bricolage). Studies that examine the extent to which trust attributes (i.e., ability, benevolence, and integrity) impact the effectiveness of negative feedback and establish how behaviours are adapted as a consequence provide a rich vein of future research.

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2 (OB) – Turning Negative Feedback into Positive Outcomes

APPENDIX

Figure 1: Negative feedback processed and accepted through trust as a process

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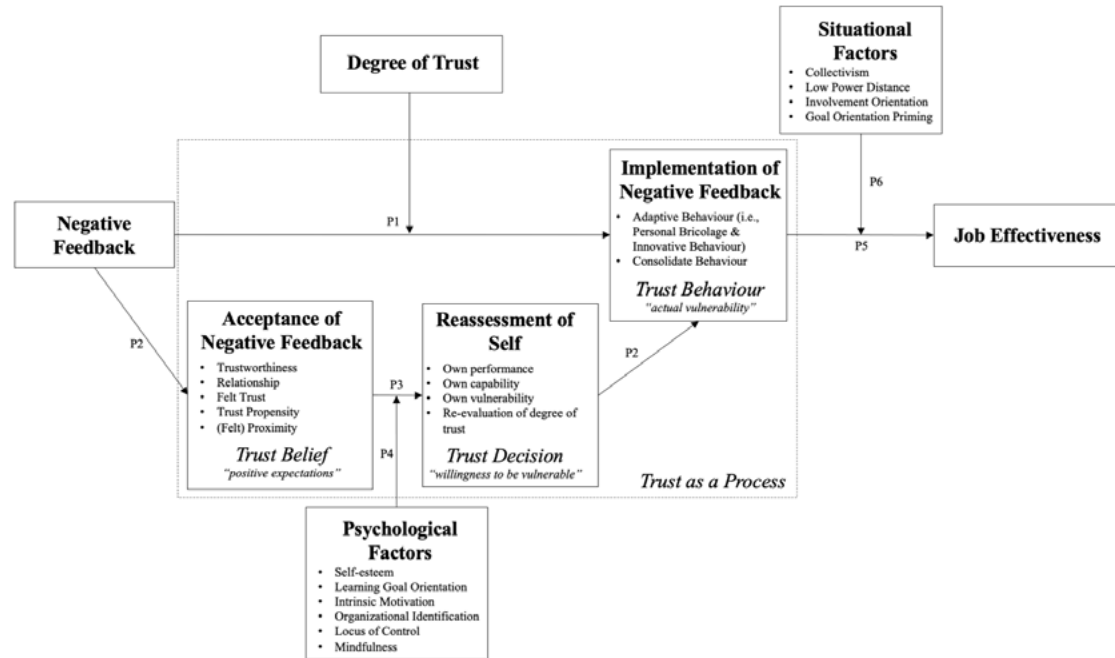
Stream 1

Human Resource Management

Do Engaged Employees Create Resources Daily? The Role of Family-To-Work Conflict and Conscientiousness

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Do Engaged Employees Create Resources Daily? The Role of Family-To-Work Conflict and Conscientiousness

ABSTRACT

Scholars have argued that work engagement results in building more resources over longer periods of time. However, we suggest that it may be difficult for engaged employees to create resources (state positive affect, self-efficacy and social support at work) on a daily basis. A diary study conducted over five consecutive working days with two measurement occasions per day (N = 116 employees) provided support for our multilevel, moderated-mediation model. Results indicated that when family-to-work conflict is high, previous-day's work engagement leads to lower positive affect, which in turn results in lower levels of self-efficacy and social support. Moreover, for employees who are low in conscientiousness, work engagement is associated with decreased positive affect, leading to lower self-efficacy and social support.

Keywords: state work engagement, self-efficacy, social support, positive affect, family-to-work conflict, conscientiousness

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Do Engaged Employees Create Resources Daily? The Role of Family-to-Work Conflict and Conscientiousness

Work engagement refers to a positive, affective-motivational state characterized by vigor, dedication and absorption (Schaufeli, Salanova, González-Romá, & Bakker, 2002). Work engagement is beneficial for organizations as it stimulates higher task and contextual performance, resulting in greater customer satisfaction and company profitability (Christian, Garza, & Slaughter, 2011; Harter, Schmidt, & Hayes, 2002; Xanthopoulou, Bakker, Demerouti, & Schaufeli, 2009).

Extending the favourable aspects of work engagement, researchers have examined whether engaged employees can build their own resources. For instance, Xanthopoulou and colleagues (2009) found that work engagement was positively related with job resources (e.g., autonomy, coaching and feedback) and personal resources (e.g., self-efficacy and optimism). A few other studies have also demonstrated that work engagement increases job control, self-efficacy, positive work relationships and positive affect (Laguna, Razmus, & Żaliński, 2017; Salanova, Llorens, & Schaufeli, 2011; Weigl, Hornung, Parker, Petru, Glaser & Angerer, 2010). However, some scholars have cautioned against the blanket optimistic position on work engagement. Because engagement at work means that the employee is highly attentive, connected, integrated, and focused, such experience can be exhausting in terms of the effort required (Kahn, 1992), thereby resulting in the loss of resources. Recent studies have found that work engagement can be physiologically depleting (Baethge, Vahle-Hinz & Rigotti, 2020) and could lead to exhaustion (Chen, Min, Zhang, Wang, Ma, & Evans, 2020; Junker, Kaluza, Häusser, Mojzisch, van Dick, Knoll & Demerouti, 2021). Some studies have found that work engagement is positively related with work interference with family (Halbesleben, Harvey & Bolino, 2009), and work-to-family conflict (Chen, Donmez, Hoekstra-Atwood & Marulanda, 2016).

In the dynamics of resources, the role of *time* is critical since it is possible that work engagement leads to more resources over longer durations (such as months or years), but over shorter time periods (such as days), engaged employees may not be able to replenish resources. A person's level of engagement is known to fluctuate significantly across different days (Sonnentag, Dormann, &

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Demerouti, 2010), which implies that an employee who was engaged on one day might not have resources on the next day (since day-level resources in turn stimulate daily engagement). Thus, "sustained levels of engagement will be difficult to achieve" (Macey & Schneider, 2008) (p. 25).

Even though (as discussed earlier) a few studies established that engaged employees could mobilize their own resources, all these studies were based on a between-person, longitudinal research design. Thus, the argument that engaged employees can create their own "gain spiral" of resources (Bakker & Demerouti, 2017) might hold over longer periods of time. Nevertheless, the question remains – can engaged employees build resources *daily*?

Our research is an attempt to address the abovementioned gaps in work engagement literature and examine *when* and *for whom* state work engagement does not translate into creation of job and personal resources. In this study, we draw from the *conservation of resources theory* (COR; Hobfoll, 1989, 2001) to examine the association between daily engagement and three key resources: state positive affect (or positive mood), self-efficacy and social support at work. The COR theory is essentially a motivational theory, and it states that individuals strive to obtain, retain, foster and protect resources. The theory goes on to suggest that resource loss tends to be more salient than resource gain, and stress may occur when resources are lost or when there is a failure to gain resources following significant effort (Hobfoll, 1989, 2001). The role of time in the dynamics of resources has also been highlighted in the COR theory as it proposes that there are significant variations in terms of the amounts of time over which resources are gained or lost, as well as in terms of the lengths of recovery periods required to regain resources (Hobfoll et al., 2018). In support of these arguments, Matthews and colleagues (2014) found that in the short-term, work-family conflict was associated with decreased well-being, but over longer time periods, work-family conflict was related with higher levels of well-being. These findings suggest that individuals need time to adapt to resource losses occurring because of stressors. Building on these arguments, we suggest that the association between work engagement and resources might be complex, and if results show that engagement can lead to building resources over longer time periods (Laguna et al., 2017;

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Xanthopoulou et al., 2009), then we should not necessarily expect the same results across shorter time frames, such as consecutive days.

In this study, we posit that family-to-work conflict moderates the relationship between daily engagement and state positive affect. Family-to-work conflict implies that participation in work role is made more difficult due to the high demands in the family role (Netemeyer, Boles, & McMurrian, 1996). We choose family-to-work conflict (FWC) because it is recognized as a hindrance-stressor i.e. FWC is caused by demands experienced in another domain (home) and thus, it hinders personal development and goal achievement at work (Cavanaugh, Boswell, Roehling, & Boudreau, 2000). We predict that previous day's engagement would lead to lower positive affect when FWC is high. Moreover, the decreased positive affect would further result in lower levels of self-efficacy and social support at work during the day.

Furthermore, we theorize that the personality trait of conscientiousness also moderates the daily engagement – positive affect relationship. Conscientiousness is associated with self-discipline, order, competence and achievement striving (Costa & McCrae, 1992). The COR theory suggests that after investing their entire selves at work, engaged employees would strive to gain and obtain resources (Hobfoll, 1989). In these circumstances, highly conscientious employees are likely to succeed in building and regaining resources since they are known to have greater regulatory resources in the first place. Such individuals tend to apply techniques (e.g., ignoring distracting thoughts) that conserve energy (McCrae & Lockenhoff, 2010). Thus, they would experience lesser resource loss following a day of engagement at work. In line with COR theory, low conscientious employees, when perceiving loss of resources, are likely to experience decreased positive affect after investing their limited energies at work. Therefore, we propose that for low conscientiousness employees, daily engagement leads to lower levels of positive affect, which in turn results in lower efficacy levels and social support at work. Our proposed theoretical model is presented in Figure 1.

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Insert Figure 1 about here

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Work Engagement and Positive Affect

We posit that the relationship between daily work engagement and positive affect is complicated. Even though engaged employees are driven by intrinsic motivation and find psychological involvement as satisfying, there are limits to the pool of energy and resources that such employees have (George, 2011).

Family-to-Work Conflict

We propose that family-to-work conflict (FWC) will moderate the association with work engagement and state positive affect. FWC is regarded as a form of inter-role conflict, since it implies that the individual finds it hard to participate in work role due to his/her participation in family role (Greenhaus & Beutell, 1985). In their diary study of teachers, Tadić and colleagues (2015) found that hindrance demands are associated with lower positive affect. The authors also argued that resources are needed to protect employees from the negative consequences of hindrance stressors. When engaged employees perceive high levels of FWC, they are unlikely to feel cheerful and energetic because they may not have the resources required to deal with family-related expectations. The COR theory suggests that after investing all their energies at work, such individuals would want to regain those resources (Hobfoll, 1989) but the presence of FWC as a hindrance stressor would make it difficult for them to re-energize, resulting in stress (Hobfoll et al., 2018) and lower positive affect.

> *Hypothesis 1: Family-to-work conflict moderates the relationship between previous day's work engagement and today's positive affect, such that the relationship is weaker when family-to-work conflict is high.*

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Conscientiousness

We also posit that conscientiousness will moderate the relationship between work engagement and positive affect. Conscientious individuals tend to be highly disciplined, orderly, manage time well, and importantly, are known to higher levels of willpower and regulatory resources (Costa & McCrae, 1992). On days with high work engagement, employees expend their resources toward fulfilling personal and organizational goals. But after such high psychological involvement, the employees must acquire resources and recover their energy levels (Hobfoll, 1989) through relaxation, social interactions and other off-the-job activities (Sonnentag, Kuttler & Fritz, 2010).

Hypothesis 2: Conscientiousness moderates the relationship between previous day's work engagement and today's positive affect, such that the relationship is weaker when conscientiousness is low.

Positive Affect and Self-efficacy

Bandura (1997) suggested that affect and efficacy beliefs have a reciprocal relationship. Relatedly, Fredrickson (2001) argued that positive emotions broaden individuals' thought-action repertoire, helping them build personal resources such as self-efficacy. Past studies have shown that positive affect is a significant predictor of self-efficacy (Salanova et al., 2011; Thelwell, Lane, & Weston, 2007).

Hypothesis 3: Positive affect is positively associated with self-efficacy.

Positive Affect and Social Support at Work

We also expect a positive relationship between positive affect and social support. Employees with high social support at work understand that their supervisors and peers are willing to provide guidance, help, and encouragement (Karasek, 1979; Karasek et al., 1998). Fredrickson (2001) proposed that positive emotions broaden people's momentary thought-action repertoires, helping them build personal as well as social resources. Employees who are pleasant and cheerful are likely to build stronger and long-lasting relationships, thereby perceiving higher levels of social support. On the

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other hand, individuals who are dull, depressed or worried are unlikely to perceive social support (Barry, Lakey, & Orehek, 2007; Cohen, Towbes & Flocco, 1988).

Hypothesis 4: Positive affect is positively related with social support at work.

Moderated-Mediation Hypotheses

Based on the above arguments, we propose the following:

Hypothesis 5(a): Family-to-work conflict moderates the relationship between previous day's work engagement and today's self-efficacy via today's positive affect, such that the mediated relationship is weaker when family-to-work conflict is high.

Hypothesis 5(b): Conscientiousness moderates the relationship between previous day's work engagement and today's self-efficacy via today's positive affect, such that the mediated relationship is weaker when conscientiousness is low.

Hypothesis 6(a): Family-to-work conflict moderates the relationship between previous day's work engagement and today's social support at work via today's positive affect, such that the mediated relationship is weaker when family-to-work conflict is high.

Hypothesis 6(b): Conscientiousness moderates the relationship between previous day's work engagement and today's social support at work via today's positive affect, such that the mediated relationship is weaker when conscientiousness is low.

METHODS

Participants and Procedure

We used experienced sampling methodology (ESM) (Csikszentmihalyi & Larson, 2014) to test our hypothesized relationships because we are examining within-person relationships between work engagement and the resources. Participants consisted of full-time employees working in the research and development (R&D) department of a technology company in India. We recruited the participants through the Human Resources (HR) head of the organization who circulated the study

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advertisement (including a short description of the study and the incentive to be given after completing the study) to 235 full-time employees. One hundred thirty-two employees expressed interest in taking part in the project.

One week before starting the experience sampling study, participants completed an online survey about their demographics and baseline information. In this initial survey, employees also completed surveys on the big five personality dimensions. During the daily surveys, each participant received emails containing the survey links (hosted by Qualtrics.com) and completed the online surveys for five consecutive working days. The experience sampling survey comprised two parts – a start-of-the-workday (morning) survey and an end-of-the-workday (evening) survey. Each participant completed the morning survey before starting the day's work, and the evening survey after finishing the day's work before leaving for home. In the morning survey, we measured employees' state positive affect, negative affect and family-to-work conflict. In the evening survey, we assessed participants' self-efficacy, social support at work and engagement levels during that particular day. Participants were compensated in Indian Rupees to the equivalent of US$25.

Among the 132 employees who completed the initial baseline survey, 9 employees did not proceed with the daily surveys and 7 employees completed the daily surveys for only one day (these reports were excluded from the study). The final sample consisted of 116 employees (91% males). The average age was 25.2 years (SD = 2.65). All the participants hold a bachelor's degree and the average work experience was 3.2 years. We received 541 experience-sampling surveys out of potential 580 surveys (93.3% response rate).

RESULTS

Table 1 provides the means, standard deviations, percentages of within-person variance and correlations among the study variables. Results show significant within-person variance for our key variables – daily work engagement (35%), state positive affect (29%), self-efficacy (46%) and social support (41%).

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Insert Table 1 about here

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Hypothesis 1 was supported as we found the interaction term between work engagement and FWC was significant ($\gamma = -0.25$, $p < .01$). We further analysed the interaction by conducting the simple slope tests (Preacher, Curran, & Bauer, 2006). As Figure 2 illustrates, when FWC was high, work engagement was negatively related with positive affect ($z = -0.32$, $p < .01$), and when FWC was low, engagement was positively related with positive affect ($z = 0.18$, $p < .01$).

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Insert Figure 2 about here

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Next, as shown in Table 2, the interaction term between conscientiousness and work engagement was significant ($\gamma = 0.14$, $p < .01$). Figure 3 shows the results of the simple slopes tests. We found that when conscientiousness was low, work engagement was negatively related with positive affect ($z = -0.21$, $p < .05$), but at high level of conscientiousness, engagement was not related with positive affect ($z = 0.06$, n.s.). Thus, hypothesis 2 was supported.

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Insert Table 2 about here

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Hypothesis 3 stated that positive affect is positively related with self-efficacy. As shown in Table 2, we found that the estimate of positive affect on self-efficacy was significant ($\gamma = 0.12$, $p < .05$). In addition, hypothesis 4 suggested that positive affect is related with social support at work. We found significant relationship between positive affect and social support ($\gamma = 0.15$, $p < .01$). Hence, hypotheses 3 and 4 were supported.

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As shown in Table 3, we found that FWC moderated the engagement – positive affect relationship (γ = -0.19, p < .01). Moreover, results indicated that the indirect effect of work engagement on self-efficacy via positive affect was negative when FWC was high (-0.077, 95% CI = -0.131, -0.024), but not significant when FWC was low (0.039, 95% CI = -0.004, 0.075). Thus, hypothesis 5(a) was supported.

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Insert table 3 about here

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Moreover, Table 3 shows that conscientiousness moderated the work engagement – positive affect relationship (γ = 0.13, p < .01). We also computed the indirect effects and in support of this hypothesis, found that when conscientiousness is low, work engagement is negatively related with self-efficacy via positive affect (-0.059, 95% CI = -0.108, -0.011) but at high level of conscientiousness, the indirect effect of engagement on self-efficacy was not significant (0.015, 95% CI = -0.023, 0.053). Thus, hypothesis 5(b) was supported.

Next, we found that the indirect effect of work engagement on social support via positive affect was negative when FWC was high (-0.069, 95% CI = -0.125, -0.013), but when FWC was low, the indirect effect was not significant (0.035, 95% CI = -0.006, 0.072). Thus, hypothesis 6(a) was supported.

Finally, we found that when conscientiousness was low, the relationship between engagement and social support via positive affect was significant (-0.052, 95% CI = -0.099, -0.005). But the indirect effect was not significant when conscientiousness was high (0.013, 95% CI = -0.020, 0.046). Hence, hypothesis 6(b) was also supported.

DISCUSSION

Drawing from the COR theory (Hobfoll, 1989, 2001), this research advances our understanding of the consequences of work engagement. The objective of this study was to

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complement the between-person, longitudinal studies and examine the factors due to which engaged employees may not succeed in mobilizing resources over consecutive days.

Our multilevel analysis results showed that previous day's engagement could lead to lower positive affect on the current day when family-to-work conflict (FWC) is high. Engaged employees expend considerable effort and resources at work (Kahn, 1992), and in line with COR theory, need to find ways to regain their energies (Hobfoll, 1989). However, when these employees perceive that the duties and expectations in the family role are high and may interfere with their work life, they struggle to rejuvenate themselves leading to decreased positive mood. Additionally, results of our moderated-mediation hypotheses highlight that when FWC is high, these engaged employees also experience decreased levels of self-efficacy and social support due to lower positive mood. Thus, FWC comes across as a crucial hindrance stressor due to which engaged employees fail to create three key resources: positive affect, self-efficacy and social support. In a recent study, Breevaart and Bakker (2018) found that even the presence of transformational leaders could not protect employees from the negative effects of FWC. Hobfoll and colleagues (2018) recently reviewed the COR theory and suggested that we need more studies to understand the potential role played by individuals themselves, and by others, in protecting the individuals from resource losses. A practical implication of our results would be that since FWC may result in engaged employees' failure to create resources, support from family members is of utmost importance. When the family members are supportive, chances are that the demands of home can be shared proportionately ensuring decreased levels of FWC.

The personality trait of conscientiousness came across as another key boundary condition in the relationship between work engagement and resources. We found that for employees with low conscientiousness, engagement is likely to result in decreased positive affect. Moreover, results also indicated that for employees low in conscientiousness, work engagement results in decreased levels of self-efficacy and social support because of lower positive affect. As a practical implication, managers may have to take extra care of the employees who are not conscientiousness. While personality

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change may take time (Roberts & Mroczek, 2008), managers can at least encourage these employees to start sharing becoming more organized and disciplined in their work activities.

CONCLUSION

We find that on days with high family-to-work conflict, work engagement results in decreased positive affect, self-efficacy and social support at work. Secondly, results show that engaged employees who are low in conscientiousness struggle in building these resources over consecutive days. Overall, this study contributes to the engagement literature as well as research on COR. At the same time, this study also suggests that we need more research to fully understand the consequence of work engagement.

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TABLE 1

Means, standard deviations, percentage of within-person variance and correlations among the study variables

S.No.	Variables	Mean	S.D.	Within-person variance	1	2	3	4	5	6	7
1.	Work engagement	5.39	0.99	35%	**0.89**	.44**	-.07	.54**	.33**	-.09	.19*
2.	Positive affect	5.72	1.03	29%	.35**	**0.90**	-.31**	.24**	.07	-.20**	.22**
3.	Negative affect	1.94	1.04	34%	-.08	-.28**	**0.84**	-.12*	-.02	.38**	-.03
4.	Self-efficacy	5.67	0.97	46%	.60**	.27**	-.10*	**0.84**	.32**	-.07	.14*
5.	Social support at work	5.06	1.13	41%	.26**	.11*	-.05	.36**	**0.81**	-.05	-.02
6.	Family-to-work conflict	2.21	1.43	-		-.12*	-.24**	.49**	-.08	-.01	**0.91**	-.05
7.	Conscientiousness	5.14	0.78	-							**0.79**

Note: Reliabilities are reported in the diagonal, and in bold.

Between-person correlations are above the diagonal (N = 116).

Within-person correlations are below the diagonal. (N ~ 541 to 580 reports provided by the 116 employees)

* p < .05, ** p < .01

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TABLE 2

Multilevel Analysis Results for Hypotheses 1 – 4

| Predictors | State Positive Affect | | | | Self-Efficacy | | Social Support | |
| | Hypotheses 1 | | Hypothesis 2 | | Hypothesis 3 | | Hypothesis 4 | |
	γ	SE	γ	SE	γ	SE	γ	SE
Intercept	5.70**	0.09	5.70**	0.08	5.65**	0.05	5.06**	0.06
Work engagement (previous day)	-0.07	0.05	-0.08	0.05	0.06	0.05	0.01	0.05
Positive affect (today morning)					0.12*	0.05	0.15**	0.05
Negative affect (today morning)	-0.16**	0.05	-0.19**	0.05	0.05	0.06	0.02	0.05
Self-efficacy (today)								
Social support at work (today)								
Family-to-work conflict (FWC)	-0.13*	0.05						
Work-to-family conflict	-0.10*	0.04						
FWC x Work engagement	-0.25**	0.06						
Conscientiousness			0.21**	0.10				
Conscientiousness x Work engagement			0.14**	0.05				
Positive affect (previous day)	-0.03	0.05	-0.02	0.05				
Self-efficacy (previous day)					0.02	0.05		
Social support (previous day)							-0.10*	0.05

NOTE: N = 409 to 491 (sample size is smaller for lagged analysis)

* $p < .05$, ** $p < .01$; SE: standard error; γ: standardized estimate

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TABLE 3

Multilevel Analysis Results for Hypotheses 5 and 6

| Predictors | State Positive Affect | | | | Self-Efficacy | | Social support | |
| | Hypotheses 5(a), 6(a) | | Hypothesis 5(b), 6(b) | | Hypothesis 5(a), (b) | | Hypothesis 6(a), (b) | |
	γ	SE	γ	SE	γ	SE	γ	SE
Intercept					5.65**	0.07	5.04**	0.10
Work engagement (previous day)	-0.09	0.05	-0.08	0.05	0.10	0.06	0.01	0.06
Positive affect (today morning)					0.19**	0.05	0.15**	0.05
Negative affect (today morning)	-0.21**	0.05	-0.20**	0.05	0.08	0.05	0.02	0.06
Self-efficacy (today)								
Social support at work (today)								
Family-to-work conflict (FWC)	-0.13*	0.05						
Work-to-family conflict	-0.11*	0.05						
FWC x Work engagement	-0.24**	0.05						
Conscientiousness			0.21**	0.10				
Conscientiousness x Work engagement			0.13**	0.05				
Positive affect (previous day)	-0.02	0.05	-0.03	0.06				
Self-efficacy (previous day)					0.02	0.05		
Social support (previous day)							-0.11*	0.05

NOTE: N = 409 to 491 (sample size is smaller for lagged analysis)

* $p < .05$, ** $p < .01$; SE: standard error; γ: standardized estimate

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Figure 1

Hypothesized Model of Relationships
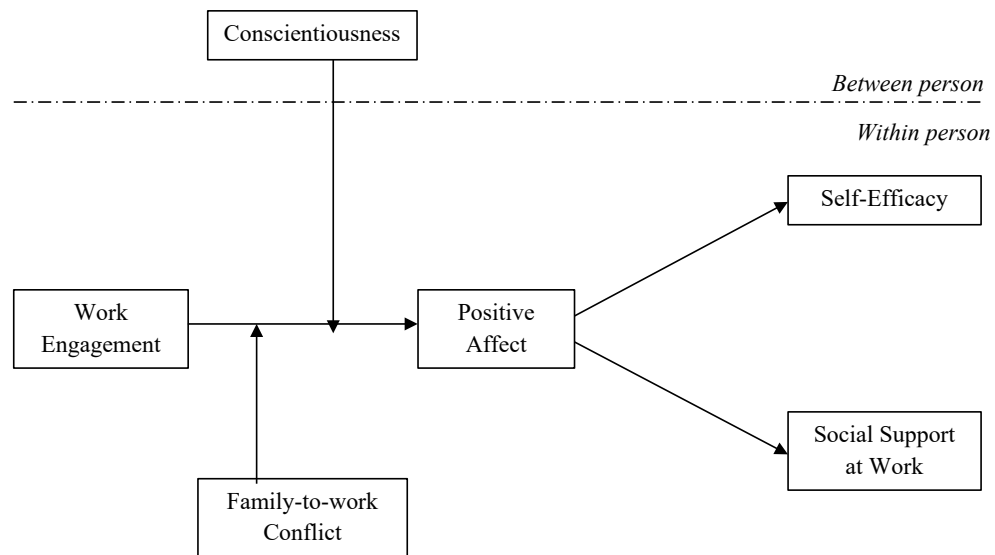
Note:

Work engagement – previous day's evening.

Positive affect and family-to-work conflict – Current day's morning.

Self-efficacy and social support – Current day's evening.

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Figure 2

Family-to-work conflict as the moderator of the relationship between previous day's work

engagement and today's positive affect
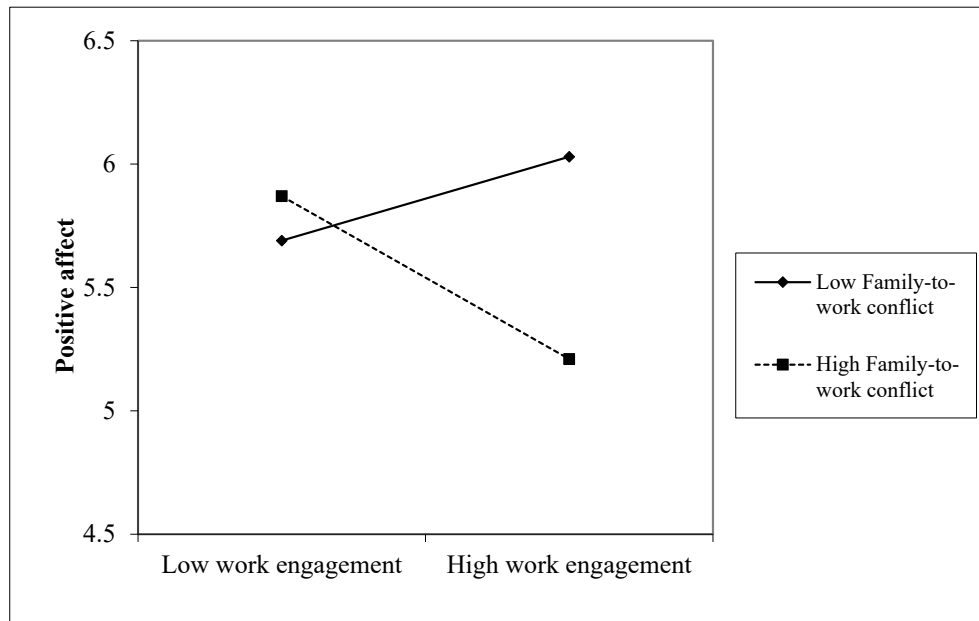
Figure 3

Conscientiousness as the moderator of the relationship between previous day's work engagement and today's positive affect
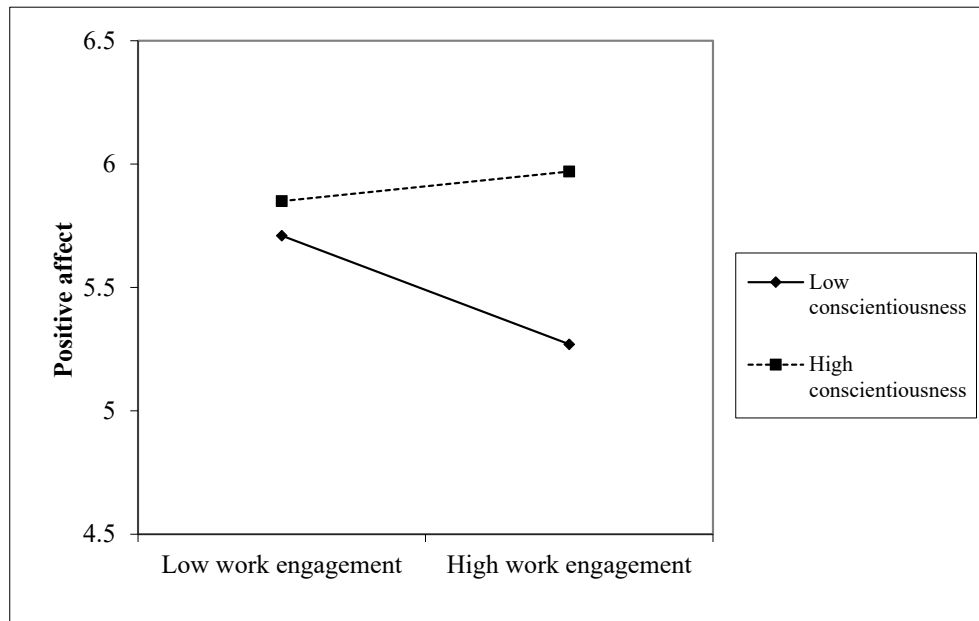
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Turning Stress into Motivation: Challenge Stressors, Team Identification and Employee Innovation Behaviour of High-tech Enterprises—The Moderating Role of Entrepreneurial Leadership

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Turning Stress into Motivation: Challenge Stressors, Team Identification and Employee Innovation Behaviour of High-tech Enterprises—The Moderating Role of Entrepreneurial Leadership

ABSTRACT: *On the basis of the Job Demands-Resources (JDR) model, this study explores the impact of challenge stressors on employee innovation behaviour in high-tech enterprises. It analyses a sample of 214 candidates employed in high-tech enterprises. We find that challenge stressors positively affect employee innovation behaviour. Team identification plays a mediating role in the relationship between challenge stressors and employee innovation behaviour. Furthermore, in the case of a high level of entrepreneurial leadership, team identification has a stronger mediating effect on the relationship between challenge stressors and employee innovation behaviour. Findings have practical implications for how to exert the positive influence of challenge stressors and motivate employees to innovate.*

Keywords: challenge stressors; team identification; employee innovation behaviour; entrepreneurial leadership

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To survive, compete, grow and endure in a turbulent global economic situation, high-tech enterprises in emerging economies need to show more innovation than ever before (Paramitha & Indarti, 2014; Scott & Bruce, 1994). Scholars generally believe that employee innovation behaviour is crucial to organisational innovation, competitiveness and long-term success (Oldham & Cummings, 1996; Schoen, 2015; Scott & Bruce, 1994). However, employees of current high-tech enterprises are faced with heavy stress (Scott & Bruce, 1994). In this context, how to turn stress into motivation and how to stimulate employees' innovative behaviour are particularly important (Amabile, 1988).

In previous studies, job stressors have long been regarded as negative factors in the workplace (Foa, Chrestman, & Gilboa, 2008). Cavanaugh, Boswell, Roehling and Boudreau (2000) divide job stressors into challenge–hindrance stressors according to the 'good' and 'bad' attributes of job stressors. Hindrance stressors have been recognised to negatively affect innovation (Sacramento, Fay, & West, 2013), but the relationship between challenge stressors and innovation has not been unanimously concluded (Baer & Oldham, 2006; Lin, Ma, Wang, & Wang, 2015; Ohly & Fritz, 2010). Therefore, further exploring the practical problem of how to exert the positive effect of challenge stressors in high-tech enterprises is necessary.

Team identification can indicate the degree of individual participation in team interpersonal interaction (Albert, Ashforth, & Dutton, 2000). When faced with challenge stressors, employees hope to integrate themselves into the team, work hard and actively interact with team members to improve team identification. Such desired actions would relieve the anxiety caused by stress through continuous acquisition of external resources and then achieve innovation. Therefore, when exploring the relationship between challenge stressors and

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employee innovation behaviour, this study examines the mediating role of team identification.

Many management scholars believe that one of the important responsibilities of leaders is to promote the generation of employee innovation behaviour (Liu, Liao, & Loi, 2012; Shalley, Zhou, & Oldham, 2004). Existing studies mostly focus on the impact of traditional leadership styles, such as transactional and inclusive leadership (Carmeli, Reiter-Palmon, & Ziv, 2010; Pieterse, Knippenberg, Schipppersm, & Stam, 2010). However, the environment faced by high-tech startups is usually highly ambiguous and uncertain, which prevents existing studies from explaining how leaders can effectively stimulate employee innovation behaviours under high pressure (Wang, Tee, & Ahmed, 2012). Entrepreneurial leadership is a leadership behaviour that motivates subordinates to discover and create strategic value by actively creating vision, mobilising subordinates and winning their commitments (Gupta, Macmillan, & Surie, 2004). As a kind of job resource, entrepreneurial leadership can relieve the resource consumption caused by challenge stressors on employees and strengthen the positive effect of challenge stressors. Therefore, our study focuses on the moderating role of entrepreneurial leadership.

To sum up, this study focuses on the mediating role of team identification in the relationship between challenge stressors and employee innovation behaviour and introduces entrepreneurial leadership as a moderating variable to explore when and through which path challenge stressors have an impact on employee innovation behaviour. It further enriches the research on the influence path of challenge stressors on innovation behaviour and provides a reference for the management of stressors in the workplace (The theoretical model is shown in Figure 1).

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HYPOTHESES

Challenge Stressors and Employee Innovation Behaviour

In previous studies, the environmental antecedents of innovation are often favourable (Amabile, Hadley, & Kramer, 2002). However, the innovation behaviour of employees often needs to be generated in a stressful environment (Leung, Huang, Su, & Lin, 2011). Some empirical studies have found that challenge stressors are positively correlated with employees' job satisfaction, job performance and organisational citizenship behaviour from the perspectives of social cognition, social exchange and activation theory (Lepine, Lepine, & Jackson, 2004; Rodell & Judge, 2009).

The JDR model states that high job demands will consume the energy and physical strength of employees (Hakanen, Perhoniemi, & Toppinen-Tanner, 2008). Although challenge stressors are a kind of high job demands, it not only can consume employees' energy and resources but also bring them benefits and growth opportunities. Unchallenging work bores employees, which distracts them from activities unrelated to work, leading to a low degree of job engagement and less generation of innovation (Wallace, Butts, Johnson, Stevens, & Smith, 2016). The benign stressors perceived by employees will make employees believe that they are competent for the job, which can inspire individuals to show positive organisational behaviours, such as creative thinking to solve the problem, resulting in innovation behaviour.

Hypothesis 1 Challenge stressors positively affect employee innovation behaviour.

Mediating Role of Team Identification

When an individual frequently interacts with team members, builds strong social bonds and achieves mutual support with other team members, he will have a high level of team

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identification (Priesemuth, Schminke, Ambrose, & Folger, 2014). Research shows that a high level of team identification can enhance employees' positive emotions and their motivation for innovation, increasing their willingness to take innovation risks and last longer in forming useful new ideas (Seo, Bartunek, & Barrett, 2010).

Conservation of resources theory also points out that coping with stress requires individuals to invest in additional resources (Hobfoll, 1989). When employees are faced with challenging tasks, they can integrate themselves into the team and form a strong social network through frequent interactions and collaboration with team members to obtain external resources, improve their own abilities and further promote their innovation behaviour.

Hypothesis 2 Team identification mediates the association between challenge stressors and employee innovation behaviour.

Moderating Role of Entrepreneurial Leadership

In recent years, some studies have confirmed the positive influence of entrepreneurial leadership on employee innovation and creativity. Newman, Tse, Schwarz and Nielsen (2018) find that entrepreneurial leadership plays a positive moderating role in the relationship between employees' creative self-efficacy and their innovation behaviour; they also confirm that the moderating role of entrepreneurial leadership is more significant than transformational and participative leadership. Entrepreneurial leaders help enterprises form an atmosphere for innovation; they trust employees, support them to take risks and positively strengthen their innovative behaviours. The JDR model assumes that job resources can moderate the relationship between job demands and outcome variables (Bakker & Demerouti, 2007). Entrepreneurial leadership can be regarded as one kind of job resource at the level of

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interpersonal and social relations to alleviate the negative impact of high job demands such as challenge stressors and provide support and assistance for employee innovation behaviour (Gupta et al., 2004). Therefore, when the level of entrepreneurial leadership is high, the relationship between team identification and employee innovation behaviour is stronger, and the indirect effect of challenge stressors on employee innovation behaviour through the mediating role of team identification is also stronger.

Hypothesis 3 Entrepreneurial leadership moderates the association between team identification and employee innovation behaviour. A high level of entrepreneurial leadership will strengthen the relationship between team identification and employee innovation behaviour.

Hypothesis 4 Entrepreneurial leadership plays a positive moderating role in the second stage of the indirect path, increasing the significant indirect effect of challenge stressors that promote employee innovation behaviour through team identification when entrepreneurial leadership is at a high level.

DATA AND METHODS

Research Design and Participants

This study collects data via online questionnaire. The sample data come from entrepreneurial and high-tech incubators in the Yangtze River Delta Region of China. The subjects of the survey are knowledge-based employees of high-tech startups within 8 years of establishment. A total of 268 questionnaires are collected in this survey, subsequently retaining 214 valid questionnaires. Table 1 shows the specific sample.

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Measures

This study uses mature scales that have been applied in existing literature to measure the other four variables. The 5-point Likert scale method is adopted for the measurement: '1' represents 'completely inconsistent', and '5' represents 'completely consistent'.

Challenge stressors

This study adopts the challenge stressors scale developed by Cavanaugh et al. (2000). Items include, 'I have a large number of tasks or projects to undertake' and 'I devote more time to my work'. The Cronbach's α value of this scale is 0.911.

Team identification

This study adopts a single-dimensional team identification scale complied by Van Der Vegt and Bunderson (2005), which contains 4 items, such as 'I feel attached to the team I am in' and 'I feel I belong to the team I am in'. The Cronbach's α value of the scale is 0.882.

Employee innovation behaviour

This study uses a single-dimensional scale of individual innovation behaviour compiled by Scott and Bruce (1994), which contains 6 items, such as 'I often seek and practice new processes, new technologies and new methods' and 'I always communicate with others and recommend my own ideas'. The Cronbach's α value is 0.900.

Entrepreneurial leadership

This study adopts the scale developed by Gupta et al. (2004), which contains 26 items in 5 dimensions: (a) building challenges, such as 'team leaders set challenging goals for the team and subordinates'; (b) absorbing uncertainties, such as 'team leaders have a clear plan for future development and minimise the uncertainty in the process'; (c) clearing paths, such as 'team

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leaders can predict and eliminate various obstacles in the work'; (d) constructing commitments, such as 'team leaders strive to obtain employees' recognition of the enterprises' innovation, change and development' and (e) clarifying constraints, such as 'team leaders are fully aware of the limitations of the enterprise and the team's capabilities and do not consume resources unnecessarily'. The Cronbach's α value of this scale is 0.978.

Control variables

Context variables such as the nature of the enterprise; the industry of the enterprise; the enterprise established years; the size of the enterprise and the gender, age and education level of the employees are treated as control variables in this study.

ANALYTICAL PROCEDURE AND RESULTS

Factor Analysis and Assessment of Common Method Bias

To reduce common method bias, the research uses the method of anonymous survey and explains the non-existence of a standard answer in the guidance part of the questionnaire. This study uses Harman single-factor test to examine the degree of homology error among variables. The results show that factor one explains 43.654% of the variance of the subjective variable without rotation, and the degree of explanation does not reach half of the variance (Podsakoff, Mackenzie, Lee, & Podsakoff, 2003). In this study, no serious common method bias exists.

This study uses confirmatory factor analysis (CFA) to test the construct validity of the model. The CFA results of the four-factor model are $\chi^2/df = 2.661$; RMSEA = 0.088; IFI = 0.921; TLI = 0.909; CFI = 0.921 (Table 2). The fitting effect is superior to other models, and each index meets the standard, which indicates that the scale has passed the construct validity

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test.

Descriptive Statistics and Correlation Analysis

Table 3 shows the descriptive statistics and correlation analysis in that the mean and standard deviation of the variables are within acceptable ranges. Challenge stressors are significantly positively correlated with team identification (r = 0.595, p < 0.001) and employee innovation behaviour (r = 0.587, p < 0.001); a positive relationship also exists between team identification and employee innovation behaviour (r = 0.531, p < 0.001); entrepreneurial leadership and challenge stressors (r = 0.520, p < 0.001), team identification (r = 0.599, p < 0.001) and employee innovation behaviour (r = 0.533, p < 0.001) all have positive correlations.

Hypothesis Testing

Table 4 reports the hierarchical regression results of the main effect and the mediating effect of challenge stressors on employee innovation behaviour. According to Models 1 and 2, challenge stressors have a significant positive effect on employee innovation behaviour (β = 0.608, p < 0.001). Therefore, hypothesis 1 is verified.

In Table 4, challenge stressors have a significant positive effect on employee innovation behaviour (β = 0.608, p < 0.001). Models 1 and 3 show that team identification has a positive effect on employee innovation behaviour (β = 0.512, p < 0.001). Model 6 reveals that challenge stressors have a positive effect on team identification (β = 0.592, p < 0.001). In model 4, challenge stressors (β = 0.471, p < 0.001) and team identification (β = 0.231, p < 0.001) both have a positive impact on employee innovation behaviour. Based on the above analysis, team identification plays a partial mediating role between challenge stressors and

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employee innovation behaviour. Hypothesis 2 is verified.

As shown in Table 5, both team identification ($\beta = 0.291$, $p < 0.001$) and entrepreneurial leadership ($\beta = 0.374$, $p < 0.001$) have a significant positive effect on employee innovation behaviour. After the interaction term is added to model 8, team identification ($\beta = 0.424$, $p < 0.001$) and entrepreneurial leadership ($\beta = 0.351$, $p < 0.001$) still have a positive impact on employee innovation behaviour, and the regression coefficient of interaction term is significant ($\beta = 0.197$, $p < 0.01$). Therefore, entrepreneurial leadership positively moderates the impact of team identification on employee innovation behaviour, and hypothesis 3 is supported.

In addition, to further directly reflect the moderating effect of entrepreneurial leadership, this study computes the simple intercepts and simple slopes for team identification by letting entrepreneurial leadership vary one at a time (−1 SD and +1 SD) whilst holding all the other variables as their means. As shown in Figure 2, the higher the level of entrepreneurial leadership, the more prominent the promoting effect of team identification on employee innovation behaviour. Hypothesis 3 has been verified again.

Finally, this study adopts Bootstrap (Edwards & Lambert, 2007) to repeat sampling 5,000 times to test the moderated mediation model. In Table 6, under the high entrepreneurial leadership level, the indirect effect of challenge stressors on employee innovation behaviour through team identification is 0.2421, and the corresponding 95% confidence interval is [0.0697, 0.4329] excluding 0. This finding indicates that it is statistically significant. In conclusion, the higher the entrepreneurial leadership level, the stronger the indirect effect of challenge stressors on promoting employee innovation behaviour by improving team

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identification. Hypothesis 4 is supported.

DISCUSSION

Theoretical Contributions

Firstly, previous studies focused on the negative effects of job demands rather than the positive effects. This study creatively explores how challenge stressors, as job demands, can have a positive impact on employee innovation behaviour, which is an effective expansion of related research on the double-edged effect of challenge stressors and the JDR model.

Secondly, this study finds that the mechanism of challenge stressors can indirectly affect employee innovation behaviour by enhancing team identification. This conclusion enriches the research results in the field of challenge stressors and innovation behaviour and helps better understand the specific path of challenge stressors affecting innovation behaviour.

Finally, existing empirical studies on entrepreneurial leadership focus on the effect of entrepreneurial leadership on organisational performance, whereas in-depth research scarcely examines the mechanism of entrepreneurial leadership at the individual level. Combined with the JDR model, this study introduces entrepreneurial leadership as a moderating variable and focuses on the moderating effect of entrepreneurial leadership as a job resource on the relationship between job demands and outcome variables, which is helpful in deepening the research on the efficacy of entrepreneurial leadership.

Practical Implications

Firstly, when making job design, enterprises should do well in stressor classification and management to reduce hindrance stressors and arrange challenging work for employees on the basis of their work characteristics and resources to stimulate the intrinsic motivation of

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employees, guide employees to build challenging work goals and achieve self-realisation at work. Secondly, managers should also pay attention to and value the role of team identification and adopt various ways to improve the team identification of employees in daily management work. Managers need to proactively understand the characteristics and needs of team members, build clear and appropriate team visions and goals on the bases of corporate vision goals and team member characteristics, make team members' personal goals consistent with the team goals and promote their identification of team members. Finally, enterprises should attach importance to selecting managers with entrepreneurial leadership characteristics. Meanwhile, managers should also attach importance to shaping their own entrepreneurial leadership style. They should fully understand their subordinate teams and employees, summarise the resources they can coordinate, set up challenging goals for the team and subordinates and fully mobilise resources and encourage employees to participate in innovative activities.

Limitations and Future Research

Some shortcomings remain, and further improvements are needed in subsequent studies. On the one hand, the data used in this study are cross-sectional data, and the questionnaires are collected at the same time. Longitudinal data collection method can be adopted in future research, and the influence of different levels on the model can be considered. On the other hand, this study only considers the moderating effect of entrepreneurial leadership and does not control other moderating variables at the individual or team level. Future research can enrich relevant studies by introducing other individual trait factors or team-related moderators.

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Figure 1: The Theoretical Model
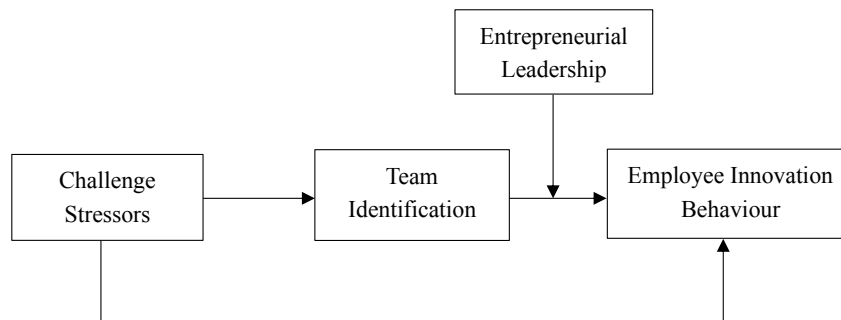
Figure 2: Plot of the Interaction between Team Identification and Entrepreneurial Leadership
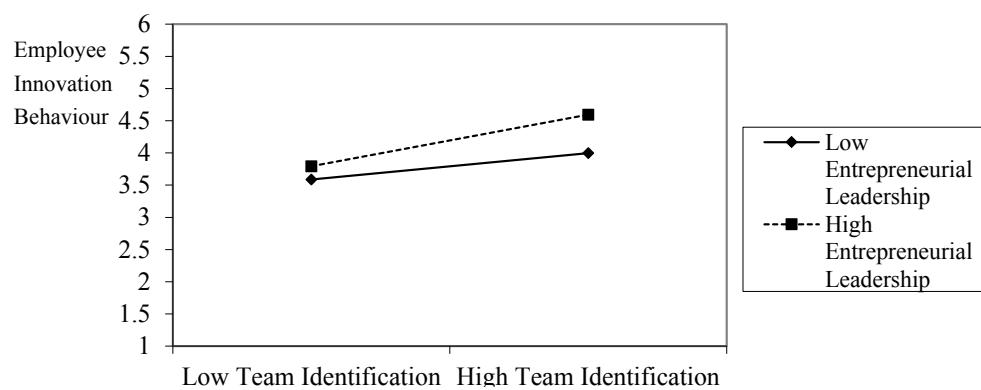
Table 1: Descriptive Statistics of the Sample (N=214)

Variables	Category	Frequency	Proportion (%)
Gender	Female	82	38.3
	Male	132	61.7
Age	≤25	11	5.1
	26-30	43	20.1
	31-35	44	20.6
	36-40	68	31.8
	≥41	48	22.4
Education	Doctor and above	2	0.9
	Master	66	30.8
	Undergraduate	117	54.7
	Others	29	13.6
Years of Enterprise Establishment	≤1 year	8	3.7
	1-3 years	63	29.4

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		2. Organisational Behaviour	
	3-5years	108	50.5
	5-8years	35	16.4
Nature of the Enterprise	State-owned	116	54.2
	Private	73	34.1
	Foreign capital or joint venture	25	11.7
Industry	Biological medicine	21	9.8
	Advanced materials	26	12.1
	New energy and environmental protection	30	14
	Advanced manufacturing	31	14.5
	Electronic information	74	34.6
	Others	32	15
The Enterprise Size	≥500	57	26.6
	250-499	48	22.4
	100-249	51	23.8
	50-99	41	19.2
	≤4	17	7.9

Table 2: The Confirmatory Factor Analysis

Model	Factor	χ^2/df	RMSEA	IFI	TLI	CFI
Model 1	4 factor：CS；TI；IB；EL	2.661	0.088	0.921	0.909	0.921
Model 2	3 factor：CS+TI；IB；EL	3.946	0.118	0.858	0.839	0.857
Model 3	3 factor：CS+IB；TI；EL	4.400	0.126	0.836	0.814	0.835
Model 4	3 factor：CS+EL；TI；IB	5.844	0.151	0.766	0.735	0.765
Model 5	3 factor：CS；TI+IB；EL	4.258	0.124	0.843	0.822	0.842
Model 6	3 factor：CS；TI+EL；IB	4.267	0.124	0.842	0.821	0.842
Model 7	3 factor：CS；TI；IB+EL	5.373	0.143	0.789	0.761	0.788
Model 8	2 factor：CS+TI；IB+EL	6.626	0.163	0.726	0.692	0.724
Model 9	2 factor：CS+IB；TI+EL	5.982	0.153	0.757	0.727	0.756
Model 10	2 factor：CS+EL；TI+IB	7.388	0.173	0.689	0.650	0.687
Model 11	1 factor：CS+TI+IB+EL	9.221	0.196	0.597	0.55	0.595

Note: CS =Challenge Stressors; TI =Team Identification; IB=Employee Innovation Behaviour; EL= Entrepreneurial Leadership; "+" represents factor merger.

Table 3: The Descriptive Statistics of the Main Variables

	Mean	S.D.	1	2	3	4
1. Challenge Stressors	4.194	0.681	(0.798)			
2. Team Identification	4.437	0.643	0.595***	(0.811)		
3. Employee Innovation	4.051	0.649	0.587***	0.531***	(0.777)	

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2. Organisational Behaviour

Behaviour						
4. Entrepreneurial Leadership	4.236	0.614	0.520***	0.599***	0.533***	(0.918)

Note: * $p < 0.05$; ** $p < 0.01$; *** $p < 0.001$.

Table 4: Hierarchical Regression Results

	Dependent variable: Employee Innovation Behaviour				Dependent variable: Team Identification	
	Model 1	Model 2	Model 3	Model 4	Model 5	Model 6
Control variables						
Gender	-0.119	0.005	-0.019	0.022	-0.195**	-0.074
Age	0.194**	0.145*	0.135*	0.129*	0.116	0.067
Education	0.166*	0.199***	0.099	0.162**	0.131	0.163**
Years	0.064	0.087	0.043	0.072	0.041	0.064
Nature	0.008	0.022	0.055	0.041	-0.094	-0.079
Industry	-0.035	0.057	0.032	0.067	-0.131	-0.041
Size	-0.069	-0.064	-0.036	-0.050	-0.065	-0.060
Independent variable						
Challenge Stressors		0.608***		0.471***		0.592***
Mediating variable						
Team Identification			0.512***	0.231**		
R²	0.065	0.409	0.308	0.442	0.073	0.400
Adjusted R²	0.033	0.386	0.281	0.417	0.042	0.377
F	2.052*	17.768***	11.398***	17.923***	2.332*	17.105***

Note: * $p < 0.05$; ** $p < 0.01$; *** $p < 0.001$.

Table 5: Regression Results of Moderating Effect

		Dependent variable: Employee Innovation Behaviour		
	Model	Model 1	Model 7	Model 8
	Gender	-0.119	0.012	0.016
	Age	0.194**	0.180**	0.156**
	Education	0.166*	0.085	0.058
Control variables	Years	0.064	0.006	0.009
	Nature	0.008	0.058	0.082
	Industry	-0.035	-0.010	-0.013
	Size	-0.069	-0.025	-0.025
Mediating variable	Team Identification		0.291***	0.424***
Moderating variable	Entrepreneurial Leadership		0.374***	0.351***

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		2. Organisational Behaviour		
Interaction	Team Identification ×Entrepreneurial Leadership			0.197**
Model fitting	R²	0.065	0.390	0.414
	Adjusted R²	0.033	0.363	0.385
	F	2.052*	14.502***	14.348***

Note: * p < 0.05; ** p < 0.01; *** p < 0.001.

Table 6: Moderated Mediating Effect Analysis

Mediating variable	Moderating variable	Level	Effect	95% Confidence Interval	
				BootLLCI	**BootULCI**
Team Identification	Entrepreneurial Leadership	Low	0.0946	-0.0125	0.1979
		0	0.1684	0.0404	0.3050
		High	0.2421	0.0697	0.4329

Note: High level (+1 SD); Low level (−1 SD).

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Conference Stream 2. Organisational Behaviour

Toward a Model of Hardiness Development: The Effect of Hope on Hardiness

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Conference Stream: 2. Organisational Behaviour

Toward a Model of Hardiness Development: The Effect of Hope on Hardiness

ABSTRACT

Hardiness has been proven to help with the management of psychological stress. It is an important state-like personality dimension that individuals can develop to cope with stressors. However, there is currently insufficient understanding on why hardiness develops in people. Through an exploratory study based on 55 undergraduate university students who worked on an international consulting project in return for grades, this research examines the relationship between individuals' hardiness components of commitment, control and challenge and hope components of willpower and waypower. It is found that individuals' hope components may be positively related to specific hardiness components. This bears considerable theoretical and practical implications to hardiness research and the field of hardiness training respectively.

Keywords: hardiness, hope, coping, partial correlations

Hardiness is a personality dimension that is believed to help people withstand the effects of psychological stress (Soccorso, Picano, Moncata, & Miller, 2019). This is because hardiness comprises three attitudinal components: commitment, control and challenge that help people resist stressors (Eschleman, Bowling, & Alarcon, 2010; Eschleman, Mast, Coppler, & Nelson, 2019). Individuals' *commitment* help them see the activities at hand as interesting; and they stay engaged in doing them. Hardy individuals take *control* – they believe that their efforts can influence events and outcomes; and they regard change positively as a *challenge* and thus an opportunity for personal learning and growth (Nordmo et al., 2020).

While various studies treat hardiness as a personality trait, there have also been research efforts devoted to the examination of hardiness as a malleable state-like personality style (Johnsen et al., 2013; Kossek & Perrigino, 2016; Soccorso et al., 2019). The practical perspective of hardiness suggests that, individuals across different domains, ranging from public schools to military forces, can be taught to be hardy (Bartone, Valdes, & Sandvik, 2016; Härtel & Latemore, 2011; Judkins, Reid, & Furlow, 2006; Maddi, Kahn, & Maddi, 1998). Hardiness practitioners have developed numerous

hardiness training programmes, the majority of which teaches their trainees active coping techniques for dealing with difficult circumstances (Khoshaba & Maddi, 2008).

Studies on hardiness training programmes have reported positive correlations between people's use of the coping techniques taught (e.g. reconstruction of stressful circumstances) and their hardiness scores post-training (Judkins et al., 2006; Khoshaba & Maddi, 2008; Maddi, 2007; Maddi et al., 1998). However, despite the success stories, the mechanisms by which trainees become hardy remain unclear (Delahaij, Gaillard, & van Dam, 2010; Eschleman et al., 2010). There is a dearth of research that explicates the effect of the coping techniques on individuals' hardiness (Bonanno, 2004; Eschleman et al., 2010). The interventions designed to date, such as hardiness training and counselling programmes, also appear semi-functional since knowledge of why various coping techniques work on individuals' hardiness is lacking. The latter is especially poignant amidst the turbulent times we live in today.

The current research seeks to shed light on why people may develop hardiness through a concurrent activation of hope. Counsellors encourage their clients to stay hopeful in the worst of situations, and individuals may even try to have fun amidst difficult circumstances when they have hope (Owler & Morrison, 2020; Worgan, 2013). According to Snyder's (2002) hope theory, people who have hope will set goals, motivate themselves toward the goals via agency thinking ('willpower') and be capable of deriving pathways to achieve them ('waypower'). This paper thus uses hope theory to examine how individuals' willpower and waypower may be linked to their hardiness components of commitment, control and challenge during stressful situations (Luthans, Avey, Avolio, Norman, & Combs, 2006). In what follows, we will explain the concept of hardiness, and discuss why hope theory is relevant to its development. We will also propose a theoretical model that integrates individuals' active coping, hope willpower and waypower, and hardiness commitment, control and challenge. We then report on an exploratory study that examines the relationships between individuals' hope willpower and waypower, and their hardiness commitment, control and challenge, during their attempts to deal with stressors. After which, we will discuss the theoretical and practical implications.

HARDINESS

Hardiness represents a personality dimension that promotes positive life experiences and buffers against the harmful effects of stressors (Luthans & Jensen, 2002; Snyder, 2002). It comprises three attitudes, namely, commitment, control and challenge (Luthans & Youssef, 2007; Snyder, 2002). Commitment refers to the feeling of staying interested and wanting to stay involved with the people and things around oneself, rather than retreat to isolation when under stress. Control refers to the idea of one being able to influence outcomes instead of being passive and powerless recipients of change. Challenge refers to seeing change as inevitable and treating it as an opportunity to learn and grow (Cheavens, Heiy, Feldman, Benitez, & Rand, 2019).

To date, hardiness studies have delved into the subject primarily on three fronts: the consequences of hardiness, several correlates that are conducive to hardiness, and the consequences of hardiness training programmes (Eschleman et al., 2010). Research on the consequences of hardiness has linked it to positive outcomes, e.g. individuals' stress tolerance and successful performance under harsh work conditions (Delahaij et al., 2010; Johnsen et al., 2013). Studies on hardiness correlates have shown positive links of individuals' personality characteristics, such as optimism, to their hardiness levels (Eschleman et al., 2010; Hystad & Bye, 2013; Maddi et al., 2006).

Research on the consequences of hardiness training have focussed mainly on the correlation between individuals' participation in training programmes and their hardiness scores thereafter (Judkins et al., 2006; Khoshaba & Maddi, 2008; Kobasa, Maddi, & Kahn, 1982). This stream of studies is based largely on the practitioner perspective that hardiness is malleable and can be taught (Khoshaba & Maddi, 2008; Michael, Heike, & Bernd, 2006). For instance, Maddi (2002) has measured and detected a significant increase in individuals' hardiness after they have completed his hardiness training programme. Such programmes typically teach the trainees various active coping techniques, such as reconstructing stressful situations into opportunities, dealing with personal emotions, making plans for the future, and accepting unchangeable situations as they are, to deepen their self-perception of commitment, control and challenge (Maddi et al., 1998). These techniques are diametrically opposed to regressive coping where individuals exhibit withdrawal or denial behaviours, e.g. avoid the stressor and blame others (Eschleman et al., 2010). However, the studies do not explain

why following the active coping techniques has led to an improvement in individuals' hardiness (Hill & Hoggard, 2018). For example, why may making plans help with one's hardiness? People may make plans and yet feel powerless about their conundrum. For some, accepting unchangeable situations as they are may actually mean avoiding the stressors. There may thus be mediating variables between individuals' use of active coping and their hardiness levels that may help explain why their commitment, control and challenge are enhanced. This research suggests that the activation of hope among individuals as they apply the coping techniques may contribute to them becoming hardy. In the next section, we will discuss hope theory, raise the hypotheses, and propose the theoretical model for linking the hope and hardiness components.

HOPE AND HARDINESS DEVELOPMENT

Snyder (2002) defines hope as 'a positive motivational state that is based on an interactively derived sense of successful agency (goal directed energy) and pathways (planning to meet goals)'. He refers to the sense of agency as 'willpower' and the sense of pathways as 'waypower' (Snyder, 2002). Hope, in this form, is state-like and can be increased or reduced depending on the external factors that act on one's willpower and waypower. Individuals having hope will not only harbour a motivational force toward their desired goals, i.e. willpower, they will think of reasonable pathways to deal with the stressors that obstruct goal attainment, i.e. waypower (Luthans & Jensen, 2002). As such, despite challenging circumstances, hopeful people will continue to possess the will to resolve stressors while being backed by the potential ways that they have considered for doing so (Worgan, 2013). They therefore do not give up easily when stressed, which is also a manifestation of their hardiness. It follows that individuals' hope components of willpower and waypower may be linked to their hardiness components of commitment, control and challenge in specific ways, thus mediating between individuals' active coping and overall hardiness levels.

Hardiness Commitment and Hope Willpower

Willpower represents the 'motivation component in hope theory' (Snyder, 2002, p. 251). This willpower propels individuals toward goal accomplishment amidst difficult circumstances, via the pathways they have constructed to overcome the stressors against goal attainment (Luthans & Jensen, 2002; Snyder, 2002). People who are low on willpower may not act on achieving goals even if they

have identified the pathways. People high on willpower, on the other hand, will have their eyes affixed on the desired goals and stay the course. In doing so, they will stay interested in what they are doing, and want to remain involved with the people and things around themselves, rather than retreat to isolation when stressed. As such, coping techniques that teach trainees to reconstruct their stressful situations, dealing with their emotions and accepting unchangeable situations may in effect be helping them to stay focussed on realistic goals and motivating them toward those goals (Judkins et al., 2006; Maddi, 2007). That is, these techniques activate individuals' hope component of willpower, which is correlated with their hardiness component of commitment. It is thus posited that individuals who are high on willpower will be high on hardiness commitment.

Hypothesis 1. Hope willpower has a positive relationship with hardiness commitment.

Hardiness Control and Hope Waypower

Waypower involves individuals' cognitive processes in constructing avenues for goal accomplishment (Luthans & Jensen, 2002; Snyder, 2002). When faced with stressors on the way to goal attainment, people may fall back on solutions from past experience or generate new ideas and routes to success. People low on the hope component of waypower will find their goals elusive, despite the presence of willpower, as they do not have the means to achieve them. On the contrary, people high on waypower are prepared to, and able to, come up with alternative avenues to approach their desired goals or forestall negative outcomes. In doing so, they may engender in themselves a sense of influence over outcomes instead of being passive and powerless recipients of change. Coping techniques that teach trainees to make plans for the future, change what they think they can, and find opportunities during crises may, in effect, be activating their hope component of waypower, as a variable base upon which their hardiness control is built (Judkins et al., 2006; Maddi, 2007). Hence we posit that individuals who are high on waypower will be high on hardiness control.

Hypothesis 2. Hope waypower has a positive relationship with hardiness control.

Hardiness Challenge and Hope Waypower

Waypower may have a cross-temporal effect, such that individuals who are able to construct different pathways to deal with stressors currently may learn from the experience, and see the possibility of coming up with solutions for difficult circumstances in the future. As a consequence,

while the individuals may expect new and different stressors in the future, they may also believe that new stressors are surmountable given their current experience; thus regarding stressors in general as learning opportunities. Hence, coping techniques that enhance individuals' hope component of waypower may concurrently strengthen their hardiness component of challenge as well (Khoshaba & Maddi, 2008).

Hypothesis 3. Hope waypower has a positive relationship with hardiness challenge.

We propose the theoretical model that encapsulates the three hypotheses in Figure 1.

Insert Figure 1 about here

METHOD

Participants

To look into the hypothesised relationships, we conducted an exploratory study of university students' hope willpower and waypower, and hardiness commitment, control and challenge, during two runs of a course in early 2020 and early 2021. Hosted by an autonomous university in Singapore, the human resource employer branding course required the students to deliver on an international consultancy project. This course was graded and credit bearing. Grades were assigned based on a set of pre-determined rubrics released to students at the beginning of the course. Better scores were given to students who could respond most accurately to the project question, display rigor in their research methods, and exercise creativity and practicality in the adoption of solutions for the client sponsor.

In early 2020, the emergence of COVID-19 in Singapore and the implementation of safe management restrictions saw the course delivery being changed, halfway through, to remote online classes (Abdullah & Kim, 2020). This made it more challenging for the students to learn and interact with their client sponsor, as opposed to the original plan of flying the faculty member and students overseas to engage their client sponsor during the project phase. In 2021, the course was made fully online amidst the prevailing safe management restrictions. While the students came prepared for the online learning experience in early 2021, providing the client sponsor overseas with remote consulting was new to many of them. The inability to fly overseas to do market research onsite remained a huge

sticking point in the crafting of their evidence-based recommendations. The students gave feedback that the obstacles presented by the COVID-19 pandemic had been a stressful experience. They were thus appropriate participants for a study on the link between individuals' hardiness and hope in the face of difficult circumstances.

The course was taught by the same university faculty member for the two runs. Each run comprised two phases: a preparatory phase and a project phase. During the preparatory phase, the faculty member would teach the students human resource theories relevant to the project through lectures and classroom activities. The students would also learn about the client sponsor's requirements and gather preliminary information on its human resource branding problems. Thereafter, the students would enter the project phase, where the faculty member had them work in teams on the client sponsor's problems. The project phase culminated in the student teams' final report and presentation to the client sponsor.

A total of 55 students enrolled in the two course runs and participated in the study. All of them self-selected into the courses via an online course bidding system. There were more female students (41, 74.5%) than male students (14, 25.5%). Majority of them were in the 23 – 27 year age group (80%), some 18% were in the 18 – 22 year age group and about 2% were in the 28 – 32 year age group. Out of these students, 49.1% were Year 3 students, 36.4% were Year 4 students and 14.5% were Year 2 students. The authors' ethics review board approved the study protocol prior to data collection.

Procedures

The study took a cross-section snapshot of the students' hope and hardiness components from the two runs. It surveyed the 55 students during their respective project phases with a questionnaire containing the Dispositional Resilience Scale-15 (DRS-15; Bartone, Johnsen, Eid, Hystad, & Laberg, 2017; Bartone, Kelly, & Matthews, 2013), State Hope Scale (Cheavens et al., 2019; Luthans & Jensen, 2002) and an open-ended question. The DRS-15 and State Hope Scale were for the students to respond about their hardiness and hope levels respectively, and the open-ended question was for them to describe their experience of the course at that moment. The project phase juncture was chosen as the survey period as the students would have encountered more stress than other times during the course.

This was helpful for improving the relevance of their responses to the study's intent. To ensure that the students did not misconstrue any power relationship in completing the survey, an independent research assistant was employed to administer the survey using Qualtrics (online survey software) and explain to them that their survey participation was voluntary with no implications to their course grades (Cushman, Kelly, Fusco-Rollins, & Faulkner, 2021). Furthermore, the Qualtrics settings were adjusted for the students to complete the survey anonymously. The survey had a 100% response rate.

Measures

Open-ended question

The survey's open-ended question asked participants to freely express their thoughts on their stressful experience during the project phase. It also invited them to describe their motivation for doing the project and their plans for delivering on the project at that juncture. The purpose of this question was to generate qualitative findings that may help with the interpretation of the students' willpower and waypower quantitative responses. The study was not keen on students' dispositional hope but state hope, which could be strengthened by external factors such as the faculty member's encouragement to them throughout the course (Hirschi, Abessolo, & Froidevaux, 2015). Hence, the participants' responses to the open-ended question would offer some assurance that their state hope had been activated too when they addressed stressful situations during the project phase. To avoid having the State Hope Scale pre-empt participants on their responses to the open-ended question, the scale was positioned after the open-ended question.

Hope

Snyder's (2002) State Hope Scale for measuring one's state hope was administered. The instrument comprised six items, divided into three willpower subscale items and three waypower subscale items. A Likert scale of eight points, ranging from '1' being 'Definitely False' to '8' being 'Definitely True', was used for the participants to respond to the State Hope Scale questions. An example of willpower subscale item is 'At the present time, I am energetically pursuing my goals.' An example of waypower subscale item is 'I can think of many ways to reach my current goals.' The scale has good discriminant validity (Luthans & Jensen, 2002).

Hardiness

The DRS-15 was used to measure the participants' hardiness. The scale comprises 15 items rated on a Likert scale ranging from '0' being 'Not at all true' to '3' being 'Completely true', and is divided into the commitment, control and challenge subscale items (Bartone et al., 2017). An example of commitment subscale item is 'Most days, life is really interesting and exciting to me.' An example of control subscale item is 'My choices make a real difference in how things turn out in the end.' An example of challenge subscale item is 'Changes in routine are interesting to me.' The DRS-15 is widely used for measuring hardiness with good psychometric properties (Eschleman et al., 2019).

ANALYSIS AND RESULTS

Descriptions of Willpower and Waypower

We applied thematic analysis on the participants' responses to the survey's opened-ended question, based on suggestions provided by King (2004). The first author generated the template with the two themes from hope literature, namely, willpower and waypower. We then reviewed the sample of 55 qualitative responses on the participants' motivation for doing the project and their plans for delivering on the project, and see if they could be classified accordingly using the themes. We found that 49 responses on participants' motivation were relevant for the willpower theme, and 50 responses on participants' plans for delivering on the project were relevant for the waypower theme. Both found that four responses were not relevant to the willpower theme and three responses were not relevant to the waypower theme. Those responses were neither descriptions of the participants' motivation nor plans. Both authors checked that the responses were classified into the themes reliably as there was substantial inter-rater agreement between them, with Kappa coefficients of 0.78 for the willpower theme and 0.73 for the waypower theme (Cohen, 1960). For the responses on which both authors disagreed about the classification, they discussed further until there was agreement on the classification.

The participants' motivation for the project during a stressful period reflected their sense of agency (willpower) at that juncture. Responses consistent with the willpower theme will contain mentions about their goals and the intent to pursue those goals. Examples of such responses include: 'I want to learn new things and make new friends along the way. This would enhance my life

experience' (Respondent 3, Male, Year 2 Student) and 'I will still get to learn more about a new culture that is interesting and be able to broaden my horizons' (Respondent 32, Male, Year 3 Student).

The participants' plans for delivering on the project during the stressful period reflected their sense of pathways (waypower) at that juncture. Responses consistent with the waypower theme will contain mentions of the different avenues and routes that the participants have constructed for achieving their goals. Examples of responses relevant to the waypower theme are: 'Do more research work and talk to more people' (Respondent 11, Female, Year 2 Student) and 'Ask friends, try and test to apply the concepts and recheck with the professor and classmates' (Respondent 50, Female, Year 3 Student).

Out of the 50 responses classified under the waypower theme, two responses mentioned the adoption of a learning attitude as a constructed pathway and the implications of this attitude for stressful situations in the future: 'Learn along the way and don't be afraid to ask questions from now on' (Respondent 15, Male, Year 3 Student) and 'I will learn to multitask, then I can be in a lot of situations where I can manage stress' (Respondent 17, Female, Year 3 Student).

Hardiness Components and Hope Components

Having checked that normality assumptions have been met, we tested two sets of partial correlations (Wetzels & Wagenmakers, 2012). First, the partial correlation between the hardiness components of commitment, control and challenge and the hope component of willpower while controlling for the hope component of waypower was tested. Second, the partial correlation between the hardiness components of commitment, control and challenge and the hope component of waypower while controlling for the hope component of willpower was tested. As both willpower and waypower are known to work reciprocally in the production of state hope, there is a need to control for the effect of one hope component while testing the other, to isolate the effect of one hope component on the hardiness components (Luthans & Jensen, 2002; Snyder, 2002). It is found that there is a very significant relationship between hope willpower and hardiness commitment while controlling for hope waypower, $r = 0.39$, p (1-tailed) < 0.01. Hypothesis 1 was supported. There is also a very significant relationship between hope waypower and hardiness control while controlling for hope willpower, $r = 0.41$, p (1-tailed) < 0.01. Hypothesis 2 was supported. The relationship between hope waypower and

hardiness challenge while controlling for hope willpower is not significant though, $r = 0.05$, p (1-tailed) = 0.35. Hypothesis 3 was not supported. The partial correlations are provided in Tables 1 and 2.

Insert Table 1 and Table 2 about here

DISCUSSION

Individuals' hardiness may be influenced by their state hope. The survey results illustrate this through the participants' responses on their motivation for the project and plans for delivering on the project, and the very significant relationships between hope willpower and hardiness commitment, and hope waypower and hardiness control. The participants' qualitative responses show that, in the midst of a stressful period, they had activated their willpower and waypower in response. The crux of the matter was in the activation of their willpower and waypower rather than the external factors that contributed to the activation. The study was not trying to show how various coping techniques are linked to hope willpower and waypower. It is assumed that external factors, e.g. faculty member's encouragement and previous experience, have helped to activate their state hope. Instead, the study sought to highlight the possibility that when individuals' hope willpower and waypower are activated, there may be a concurrent activation of their specific hardiness components. This possibility is supported by the highly significant correlations found.

While the participants' hope waypower was not correlated with their hardiness challenge as hypothesised, two of their qualitative waypower-theme responses suggested continuous learning as a pathway and an attitude of learning continuously to deal with stressful circumstances. This was akin to cultivating a sense of hardiness challenge. These responses are thus consistent with the notion that individuals' waypower may be linked to their hardiness challenge; a notion that may be worth another look with a larger participant sample.

Theoretical and Practical Implications

The current research holds important theoretical implications. Research on the antecedents to hardiness has focussed extensively on the relationship between individuals' hardiness and their personality characteristics, and between individuals' hardiness and use of active coping (Eschleman et

al., 2010). The former treats hardiness as a personality trait, with the resultant advice one of either having the personality characteristics to be hardy or not (Bartone, Roland, Picano, & Williams, 2008). The latter highlights the effect of active coping on individuals' hardiness, but is silent on the intrapersonal developments that give rise to hardiness (Khoshaba & Maddi, 2008). On the other hand, research on hope theory has largely expounded the giving of hope for overcoming immediate stressors (Choi, Choi, & Sung, 2019). However, it has yet to address whether there may be a sustained effect in people from the point of having hope until the next stressor encountered. Linking hope to hardiness may offer an answer to address the above gaps. When interventions activate individuals' hope components, they may build up their hardiness at the same time, and this may help them respond to stressors more effectively in the future. Linking individuals' hardiness to their hope also has practical appeal. Trainers encourage individuals to cope and be hardy in turbulent times (Green, Oades, & Grant, 2006; Kowalski & Schermer, 2019; Worgan, 2013). Knowing the hardiness and hope correlations will enable them to improve on their craft of hardiness development.

Limitations and Future Research

There are several limitations to this research that can be addressed in future studies. First, we reported only correlations between the hardiness and hope components. One may argue that the direction of causality is debatable. The hardiness components may have influenced the hope components too. However, given the participants' qualitative willpower and waypower responses, it may be intuitively sensible to posit that their state hope has influenced their hardiness. Second, the study's sample size is small, making generalisations challenging. A longitudinal experimental study in the future on the training interventions, hope components and hardiness components, involving a larger sample, may be more conclusive on the causal dynamics and generalisations. Third, the participants were all university students. It may be argued that, the stressors that they had face is not representative of the stressors in the real world. However, as university students working on graded consultancy projects, the sensation of stressors may actually be similar to real world consultancy projects with comparably high stakes. Nonetheless, this remains a conjecture until validated with real-world participants in future research endeavours.

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Figure 1: Hope Willpower and Waypower and Hardiness Commitment, Control and Challenge
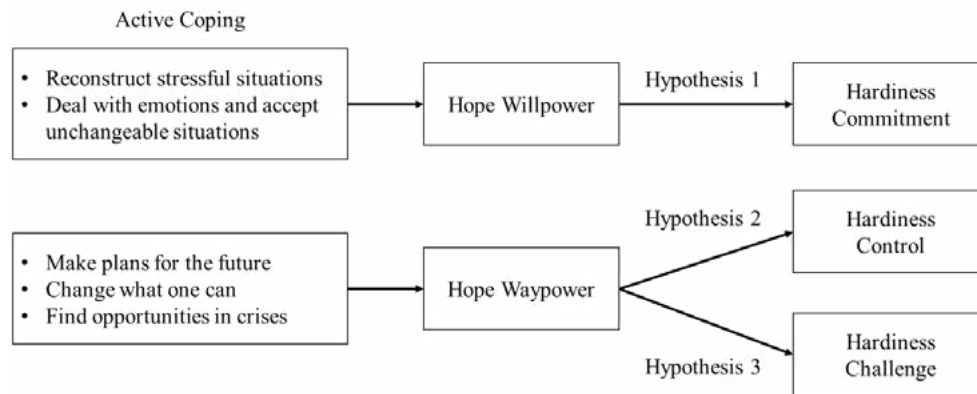
Table 1: Partial Correlations among Hope Willpower, Hardiness Commitment, Control and Challenge while Controlling for Hope Waypower

Control Variables			Hope: Willpower	Hardiness: Commitment	Hardiness: Control	Hardiness: Challenge
Hope: Waypower	Hope: Willpower	Correlation	1.00	0.39**	0.00	0.10
		Significance (1-tailed)	.	0.00	0.49	0.25
		Degrees of freedom	0	52	52	52
	Hardiness: Commitment	Correlation	0.39**	1.00	0.18	0.51**
		Significance (1-tailed)	0.00	.	0.10	0.00
		Degrees of freedom	52	0	52	52
	Hardiness: Control	Correlation	0.00	0.18	1.00	-0.15
		Significance (1-tailed)	0.49	0.10	.	0.15
		Degrees of freedom	52	52	0	52
	Hardiness: Challenge	Correlation	0.10	0.51**	-0.15	1.00
		Significance (1-tailed)	0.25	0.00	0.15	.
		Degrees of freedom	52	52	52	0

N = 55. *$\rho < 0.05$; **$\rho < 0.01$.

Table 2: Partial Correlations among Hope Waypower, Hardiness Commitment, Control and Challenge while Controlling for Hope Willpower

Control Variables			Hope: Waypower	Hardiness: Commitment	Hardiness: Control	Hardiness: Challenge
Hope: Willpower	Hope: Waypower	Correlation	1.00	-0.10	0.41**	0.05
		Significance (1-tailed)	.	0.36	0.00	0.35
		Degrees of freedom	0	52	52	52
	Hardiness: Commitment	Correlation	-0.10	1.00	0.15	0.52**
		Significance (1-tailed)	0.36	.	0.13	0.00
		Degrees of freedom	52	0	52	52
	Hardiness: Control	Correlation	0.41**	0.15	1.00	-0.11
		Significance (1-tailed)	0.00	0.13	.	0.21
		Degrees of freedom	52	52	0	52
	Hardiness: Challenge	Correlation	0.05	0.52**	-0.11	1.00
		Significance (1-tailed)	0.35	0.00	0.21	.
		Degrees of freedom	52	52	52	0

$N = 55$. $*\rho < 0.05$; $**\rho < 0.01$.

8. Business Processes, Innovation and Supply Chain

Developing soft and hard skills oriented to Lean Production

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Developing soft and hard skills oriented to Lean Production

ABSTRACT: *This research examines the effects of traditional teaching and active learning methods on the development of both soft and hard skills related to Lean Production (LP). We surveyed practitioners from two organisations, each adopting different teaching methods to support their LP trainings. Through multivariate data techniques, those teaching methods were evaluated in terms of their impact on the practitioners' development. Our findings suggested that the development of both hard and soft skills is likely to occur when active learning methods are applied. No evidence of soft skills development was observed when using traditional teaching methods. This work adds to the body of knowledge on LP teaching by assessing which teaching methods can underpin the development of hard and soft skills.*

Lean Production (LP) is a popular approach for increasing competitiveness in organisations from different sectors (Tortorella et al., 2017). Yet, over the years, practical experience has shown that an effective LP implementation depends on active and innovative employees, with multiple skills, and with continuous motivation to promote improvements. Companies have invested significant efforts for training employees on LP practices and principles as a way to shift from the traditional mass-production mindset towards a lean enterprise (Sisson and Elshennawy, 2014; Arnheiter, 2014; Yazici, 2016; Dinis-Carvalho, 2020). Nevertheless, those companies still struggle to develop such skills (Forghani and Tavasoli, 2017). According to Mamat et al. (2015), LP trainings are more effective when they encompass both the underlying hard and soft skills. Hard skills refer to technical aspects, a set of tangible actions for a successful lean implementation (e.g., goals, approaches, procedures, and technologies) (Resta et al., 2015; Dora et al., 2015). Soft skills comprise intangible elements or sociocultural aspects of the lean transformation (Aoun and Hasnan, 2013; Tortorella et al., 2015). Most of the literature focuses on hard skills development, while teaching of soft skills appears to be widely neglected.

Research on LP training has gained considerable attention (Badurdeen et al., 2010; Tortorella and Fogliatto, 2014). These studies have focused on different teaching methods varying from in-class lectures and presentations (i.e., traditional teaching methods) to practical-experimental situations (i.e., active lerning) (Pozzi et al., 2015). In traditional teaching methods students usually learn in a passive

way, by listening or reading contents. In opposition, in active learning methods students assume an active role in their own learning, while mentors are responsible for guiding apprentices through the learning process (Ramires et al., 2016). Surprisingly, few publications describe procedures for evaluating different LP teaching methods in terms of soft and hard skills learning (Merwe, 2017), featuring a gap in both theory and practice.

This research aims at investigating the impact of different LP teaching methods (i.e. traditional teaching and active learning) on the development of both soft and hard skills. Team members from two different organisations undergoing a lean implementation were systematically surveyed in four moments during an 18-month period. Each organisation has adopted different teaching methods to support their LP trainings, which allowed to analyse based on multivariate data techniques how those teaching methods impacted on teams' development. This study adds to assumptions from Dombrowski et al. (2012), which argued that a multitude of different knowledge flows (represented here by both hard and soft skills) may happen during the LP implementation. Further, this investigation allows managers of organisations undergoing a lean implementation to anticipate possible difficulties, either from a technical or sociocultural standpoint, derived from the selected LP teaching method, supporting more assertive decision-making.

BACKGROUND

LP hard and soft skills

A successful LP transformation depends on developing both hard and soft skills. As mentioned by Osono et al. (2008, pp. 19), "it is the way Toyota combines the hard and soft sides that allow it to continue outperforming competitors". Hard skills refer to tools and techniques for process improvement and operational performance (Badurdeen et al., 2010; Hopp, 2018). More recently, Burch et al. (2019) described LP hard skills as a combination of appropriate approaches and targeted technologies to achieve expected results. Additionally, Alves et al. (2017) and Tortorella et al. (2019a) defined LP hard skills as a set of technical expertise which is important for qualifying a professional in fields such as engineering, technology, medicine or law. Hard skills can be easily formalized and shared with other people using resources such as texts, images, infographics, videos, among others.

On the other hand, LP soft skills comprise behaviours and attitudes for sustaining the LP implementation in the long term. They are embedded in the human mind through experience and routines, and characterize the sociocultural aspects of an individual, team or organization (Tortorella and Fogliatto, 2014; Gento et al., 2020). Generally, LP soft skills are difficult to transmit to other people, since they cannot be easily extracted and codified (Gong and Blijleven, 2017; Baeur et al., 2018). Other definitions of LP soft skills include values and perspectives (Badurdeen et al., 2010), leadership style, teamwork, communication skills, problem-solving, creativity (Larteb et al., 2015), system thinking and organisational culture (Gao et al., 2015, Tortorella et al., 2019). In a general sense, the development of both LP hard and soft skills fosters the knowledge required for a successful LP implementation. According to Zhang and Chen (2016), LP skills play a role in creating knowledge, which can boost the knowledge management within the organisation.

LP teaching methods

The most effective teaching method for LP learning is still unknown, varying according to target audience or training objective (Abele et al., 2017). Some instructors prefer experimental methods in order to provide students with active roles, while others favour more theoretical approaches based on in-class lectures. Initially, organisations had LP teaching methods solely based on traditional teaching methods (e.g., classroom lectures and discussions). However, such methods are not always able to imply knowledge retainment for a long period, since much of the information may be forgotten. Cognitive science research suggests that students should do more than simply listen for effectively learning. Students should be encouraged to develop an active position so that they can interact with other people and different contexts, contributing to greater learning. This fact is especially true when considering LP principles, which are somewhat abstract and difficult to be understood by a low-experienced audience (Tortorella and Cauchick-Miguel, 2017; Tortorella et al., 2020).

With the advent of active learning methods, traditional teaching methods started to be complemented so that LP learning could be more effective (Alves et al., 2016; 2017). In particular, the incorporation of experimental simulations represented an important milestone in the evolution of

LP teaching, as it enabled the development of skills that were difficult to acquire through traditional teaching methods (Uriarte et al., 2020). Further, active learning methods are claimed to develop individuals in order to identify problems, analyse costs, make decisions, and outline improvement plans (Manikas et al., 2014; Abele et al., 2017; Hertle et al., 2017). Often, these teaching methods tend to be more practical oriented and student-centred, allowing to test hypotheses in real scenarios and evaluate them through performance (De Zan et al., 2015; Goerke et al., 2015; Barnabè et al., 2017).

METHODS

The proposed method was comprised of three main steps: (*i*) sample selection and data collection; (*ii*) questionnaire development; and (*iii*) data analysis.

Data collection occurred in two organisations which fitted the selection criteria: an administrative sector of a public higher education institution (organisation 1) and a public teaching hospital (organisation 2). Both organisations had their LP trainings supported by some of the authors of this research, which facilitated the identification of the selection criteria achievement. In organisation 1, the LP training included 10 personnel, such as administrative technicians and senior managers. The training was predominantly based on traditional teaching methods (e.g., expository classes, group discussions and exercises, and classroom activities), sometimes complemented with computational simulation activities (e.g., exercises in Bizagi® software). On the other hand, organisation 2's LP training was comprised of 14 personnel from the dietetic nutrition department of the hospital. This training was mainly based on active learning methods (e.g., project-based learning, on-site visits and practical experimentations). Thus, the teaching methods developed in both organisations were of different nature, fitting within the criteria established for this research.

Data was then collected throughout an 18-months period (from March 2018 to September 2019). The interval between each data collection was based on the recommendations from Joyce and Showers (2002), which advised a minimum interval of three months so that there is sufficient time for participants to start developing both hard and soft skills. Thus, a total of four data collections were carried out over the study period. The first collection (t_0) was performed before the start of training

(March 2018), and the second (t_1) immediately after the training. The two subsequent data collections (t_2 and t_3) occurred in December 2018 and September 2019, respectively. In each data collection, questionnaires were printed and personally delivered to each respondent. This provided guidance and assistance to respondents when filling the questionnaire, while ensuring the participation of the same respondent on each data collection moment.

Approximately 96% of the sample had less than 5 years of experience in lean implementation. 58.3% of respondents were between 20 and 35 years old. In both organisations most respondents were female (75% in organisation 1 and 91.7% in organisation 2). In organisation 1, 60% of respondents held positions in administrative areas; while in organisation 2, there was a predominance of respondents who worked in technical areas (71.4%).

The research was based on a questionnaire composed of four parts. The first part comprised the sample's demographic profile. The second part gathered data on hard skills of LP, based on Aroldi et al.'s (2018) questionnaire. A 5-point Likert scale was used to assess respondents' knowledge on each LP concept or practice, where 1 designates 'very unsatisfactory' and 5 designates 'very satisfactory'. In the third part, the development of soft skills (sociocultural aspects) was assessed based on organizational learning statements suggested by Marsick and Watkins (2003). These statements were also used as proxy of sociocultural aspects in LP implementation in previous studies (Tortorella and Fogliatto, 2014). A 5-point Likert scale was applied, where 1 represented a situation that 'never' occurs and 5 a situation that 'always' occurs. Finally, in the fourth part, the implementation level of LP practices was assessed using the instrument from Saurin and Ferreira (2008). Each practice was measured on a 5-point Likert scale, where 1 denoted a not used lean practice and 5 a fully adopted one. Respondents were also informed upfront of the absence of right or wrong answers and that responses would be treated anonymously and confidentially. To verify the reliability of the research instrument, Cronbach's alpha value was calculated. The questionnaire's consistency was considered adequate according to Taber (2018), since the alpha values obtained were all above 0.7 (0.961 for hard skills, 0.924 for soft skills and 0.939 for LP implementation).

Data analysis was conducted through two procedures. First, we determined the mean values of all members of each organisation for hard skills, soft skills and LP implementation according to each data collection moment. Then, we calculated the mean values of items within each dimension of the

questionnaire. Subsequently, using ordinary least squares linear regression (Stone and Brooks, 1990), we regressed the average score of each respondent's lean implementation (dependent variable) on the time slots as independent variable. This allowed us to measure how respondents' perceptions on their LP implementation evolved over time. Coefficients whose p-values were lower than 0.10 were considered significant; otherwise, these respondents were excluded from the subsequent analysis. Furthermore, respondents whose regression coefficients were significant and greater than the median value of the respective sample (0.98 for organisation 1 and 1.63 for organisation 2) were categorized as 'High Lean Growth' (HLG); while the remaining ones whose coefficients were significant and lower than the median value were grouped and denoted as 'Low Lean Growth' (LLG) (see Table 1). In each organisation, respondents were classified into HLG_i and LLG_i, with i ranging between 1 and 2 (1 refers to organisation 1, and 2 to organisation 2).

Insert Table 1 about here

Based on previous classification of lean implementation groups, the second procedure encompassed a comparative analyses for each organisation between the implementation levels of LP. This analysis aimed at assessing the effect of LP implementation (now as independent variable) on the development of both hard and soft skills (dependent variables) in each organisation. The Kolmogorov-Smirnov test (Razali and Wah, 2011) showed a non-normal distribution (p-value < 0.05) for hard and soft skills of each organisation. Thus, the non-parametric Mann-Whitney test (Chen et al., 2014) was used to verify whether there were significant differences between the $HLGi$ and $LLGi$ groups in relation to the development of hard and soft skills in each organisation over time (t_0, t_1, t_2 and t_3).

RESULTS

Table 2 describes the LP training of each organisation in terms of the practices and learning levels from Marley (2014). Organisation 1's training lasted approximately one month and mainly utilized traditional teaching methods, such as classroom exercises, lectures and classroom discussions. Eventually, some practical application exercises were also used, such as activities in the Bizagi®

software and short-term improvement projects. As for the learning levels, all levels were developed, except for 'memorize', which refers to the ability of individuals to remember basic facts and concepts of the training content. More specifically, LP training in organisation 1 comprised activities that focused on the development of the levels 'understand' and 'analyse', which are directly associated with traditional teaching methods.

Organisation 2's LP training lasted about three months and its teaching method was mainly based on active learning, although a few traditional teaching methods were also verified in a minor intensity (e.g., lectures and in-class discussions). Active learning occurred through physical simulations, group dynamics and on-site visits, and long-term projects in the work environment. Surprisingly, the learning levels approached in this training were similar to those from organisation 1. However, LP training in organisation 2 was focused on learning levels 'apply', 'analyse' and 'create', since most of the time participants remained in practical activities with the aim of creating, testing and evaluating improvement proposals.

<div align="center">

Insert Table 2 about here

</div>

Table 3 shows the results for the Mann-Whitney test to verify the effect of the LP implementation levels on the development of hard and soft skills in both organisations. In organisation 1, results indicate that there was no significant difference between groups HLG_1 and LLG_1 regarding the development of soft skills in all moments. Regarding hard skills, a significant difference was identified only at time t0, in which the respondents from LLG_1 group claimed to have greater skills than those from the HLG_1 (medians of 4.0 and 1.0, respectively). Over time, scores related to hard skills of both groups had no more significant differences.

These outcomes suggested that the development of soft skills remained similar between the HLG_1 and LLG_1 groups since the beginning of the training. As this organisation used traditional teaching methods, the LP training provided fewer opportunities to exercise behaviours and teamwork abilities, poorly supporting the development of soft skills (Delago et al., 2016; Flumerfelt et al., 2016). With regards to hard skills, differences in t_0 may be explained differently. HLG_1 was the group with the greatest LP implementation leap in studied period. Although LLG_1 had a smaller growth rate, its

initial mean implementation score (2.15 in t_0) was higher than the one from HLG1 (0.85 in t_0). As time passed, both groups converged to the same implementation level, and so did the hard.

<div style="text-align:center">Insert Table 3 about here</div>

With respect to organisation 2, results of soft skills showed significant differences only in the medium and long term (t_2 e t_3), with higher median values in the HLG2 group in both moments. On the other hand, development of hard skills diverged considerably in the short term (t_0 e t_1), with the HLG_2 group being the one with the highest development. Since organisation 2's training involved active learning methods, in which the participants had to make improvements in loco, differences in soft skills development were prominent between groups. These differences gained greater notoriety in the medium term, with respondents from HLG_2 presenting higher values. As indicated by Serembus et al. (2012) and Tortorella and Cauchick-Miguel (2018), active learning methods favour the development of interpersonal behaviours intrinsic to LP soft skills. In addition, this result converges to the observations from Larteb et al. (2015), which suggested that the greater the lean implementation efforts, the greater the development of soft skills. As for hard skills, the difference between HLG2 and LLG_2 was more sensitive at t_0 and t_1, and as time passed their development converged to a similar level. Interestingly, although both groups had similar levels of LP implementation at t_0 and t_1, the development of hard skills diverged significantly between them which might be associated with respondents' profile. HLG_2 was formed by respondents who held administrative positions with previous experience in LP initiatives. In opposition, LLG_2 was composed of professionals from technical areas (e.g., nurses and nutritionists), who are less likely to present a strong background in concepts related to management practices; consequently, they had a low knowledge of hard skills in t_0 and t_1. Over time, LP training allowed both groups to become familiar with the topic, mitigating differences initially identified.

CONCLUSIONS

The purpose of this research was to examine the impact of different LP teaching methods on the development of both hard and soft skills. Our study provided relevant contributions, both from

academic and practical standpoints. From a theoretical point of view, although there is a large number of publications on the relationship between LP implementation and teaching methods, a significantly smaller number of those studies take into account the development of both hard and soft skills. Our results indicated that soft skills development is mainly facilitated by active learning methods. However, depending on the degree of variation of the LP implementation, the development of hard skills can also differ, i.e., experienced individuals in LP are more likely to perceive their learning gaps. There was no evidence of soft skills development through the utilization of traditional teaching methods, corroborating to previous literature on the topic.

In terms of practical implications, some contributions to educational institutions and organisations (manufacturing and services) are worth mentioning. Concerning educational institutions, the analyses suggest that LP trainings can provide more extensive impacts when a combination of traditional teaching and active learning is adopted. The combination of these methods enables greater familiarity with LP concepts and practices and, consequently, resulting in more effective trainings and knowledge development. With regards to manufacturing and service organisations that are beginners in LP, traditional teaching methods can be a good choice for learning hard skills depending on resources' availability. However, it is recommended to include active learning methods in order to assist in the education of more complex and abstract LP concepts. The intermittent utilization of LP teaching methods leads to a more efficient knowledge management with respect to LP implementation.

It is also worth highlighting some limitations of this research. First, sample data was collected in the same region. Although this research does not aim to investigate the influence of regional culture on LP training, our results are restricted to similar socioeconomic contexts. To allow the generalization and more comprehensive validation of our findings, it is recommended to develop additional studies in different socioeconomic contexts. In addition, data analysis remained restricted by the sample size. Larger sample sizes would allow the application of more sophisticated multivariate data analysis techniques, which could result in more robust and insightful indications. Finally, the type of organisations encompassed in our study features another limitation. Because they were from service sectors (i.e., education and healthcare), further studies could investigate the validity of our outcomes in manufacturing organisations, which are supposed to be more familiar with LP.

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Table 1- Sample's clusters (HLG$_i$ e LLG$_i$)

Organisation	Respondent	Unstandardised coefficients	R^2	Adjusted R^2	Group
1	r_4	-0.56*	0.88	0.82	
	r_9	0.84*	0.83	0.76	LLG$_1$
	r_{10}	0.87*	0.81	0.72	
	r_5	1.08*	0.84	0.77	
	r_6	1.08*	0.84	0.77	
	r_8	1.80*	0.87	0.80	HLG$_1$
	r_3	1.87**	0.96	0.94	
	r_2	1.91**	0.97	0.96	
	r_1	-0.26	0.57	0.36	Excluded
	r_7	0.43	0.66	0.50	
2	r_7	0.55**	0.92	0.88	
	r_8	0.94**	0.89	0.84	
	r_5	1.16*	0.83	0.75	
	r_2	1.22**	0.93	0.89	LLG$_2$
	r_1	1.26**	0.95	0.92	
	r_6	1.35*	0.83	0.75	
	r_{12}	2.00**	0.91	0.87	
	r_{14}	2.21**	0.93	0.89	
	r_3	2.73*	0.81	0.72	
	r_{10}	2.75*	0.82	0.72	HLG$_2$
	r_4	2.78*	0.83	0.74	
	r_9	2.98*	0.84	0.76	
	r_{11}	4.90	0.77	0.66	Excluded
	r_{13}	0.80	0.70	0.54	

Note: *Significant at 0.10 level; ** Significant at 0.05 level.

Table 2- Training characteristics in organisations 1 and 2

Organisation	Content	Learning levels	
1	- Continuous improvement - Business process managent - A3 report - Plan-do-check-act - Visual management	Memorize Understand Apply Analyse Evaluate Create	 ++ + ++ + +
2	- Continuous improvement - A3 report - Value stream mapping - Continuous flow - Pull system	Memorize Understand Apply Analyse Evaluate Create	 ++ +++ +++ ++ +++

Table 3 - Mann-Whitney test to verify the variation on hard and soft skills development according to LP implementation level

Organisation	Skills	Group	n	t_0 Med[a]	SD[b]	t_1 Med[a]	SD[b]	t_2 Med[a]	SD[b]	t_3 Med[a]	SD[b]
1	Soft	LLG$_1$	3	2.6	0.4	1.9	0.8	3.0	0.7	2.7	0.4
		HLG$_1$	5	2.6	0.9	3.0	0.9	3.7	1.5	3.4	0.9
	Hard	LLG$_1$	3	4.0*	1.2	2.5	1.0	3.5	0.3	3.5	0.0
		HLG$_1$	5	1.0*	0.9	3.0	0.7	2.5	1.1	3.0	1.1
2	Soft	LLG$_2$	7	2.2	0.5	3.0	0.7	2.8**	0.6	3.0**	0.6
		HLG$_2$	5	2.2	0.3	2.5	1.0	4.2**	0.1	4.8**	0.1
	Hard	LLG$_2$	7	2.0**	0.4	2.4**	0.5	2.6	0.4	2.5	0.2
		HLG$_2$	5	3.0**	0.3	4.1**	0.3	3.0	0.7	3.0	0.5

Notes: *Significant at 10%; ** Significant at 5%. [a] Med means median; [b] SD means standard deviation

Management Issues and Approaches of Non-profit Operations: A PERSPECTIVE ON OPERATIONS MANAGEMENT.

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Management Issues and Approaches of Non-profit Operations: A PERSPECTIVE ON OPERATIONS MANAGEMENT

ABSTRACT:

The Operational Management (OM) focuses more and more on the study in non-profit activities. However, what is it that makes OM scholars particularly fascinating about this sort of operation? This topic is tackled by researching the priorities, participants and core tasks and the most specific problems they encounter in non-profit operations. Therefore, when analysing jobs in the benefit field and in various relevant fields, we propose operational and service approaches to meet those obstacles. The final aim of this essay is to empower and promote OM researchers in this new field of literature to establish relevant theoretical and scientific models.

KEYWORDS: Non-profit Organization; Operations; Operational management; Challenges & Strategies.

Goods and services are provided in several different ways to meet non-profit objectives. Of one, the WAP delivers energy saving services in the United States, funded by the Energy Department and operated by local community-based groups. The WAP provides affordable energy efficiency services to low-income communities. Another example is that the United States Red Cross (ARC) spent $148.5 million on cash-based contributions to pay for food, water, health services, emergency accommodation, cash grants and other necessities in the first six months of 2010, following the 2010 earthquake in Haiti, a major relief activity.

Whilst the practices of the WAP and ARC relief acts tend to be somewhat distinct, they are examples of non-profit initiatives. We therefore describe a non-profit activity as a set of initiatives aimed at delivering non-profit (NPO) products or services. An NPO, in effect, is an established company that operates for a cause other than profit. It ensures that the company's owners will not earn benefit or dividends until excess revenue is discovered. It is the "non-distribution cap" theoretically (Hansmann 1980, p. 838) and if applied, it may apply in certain countries for tax-exempt status.

There is a basis for the presence of NPOs (Weisbrod 1977) regardless of business and policy instability hypotheses. There is a lack of interest in the income field where markets have characteristics such as knowledge asymmetry, competitiveness, cost-effectiveness for looking or bargaining, imperfection in capital markets or other externalities. The government usually reacts with public goods to inefficiency. Yet the public sector often inefficiently hires or refuses to deliver such consumer goods or services in such a way as is required by under-served populations. Such inefficiencies are often due to rigid public service laws and bureaucracy. In many times they refuse to support minority communities as they have the goals of elect representatives to respond to the majority desire (i.e. they try to delegate re-sources and programs to the interests of the median voters). Business or policy deficiencies are recognized as private and public sector inefficiencies and where they exist, NPOs must step in.

Some scholars believe that municipal authorities and NPOs are in the same business. In addition, all styles may supply the requisite goods or services in the event of a business collapse and also function together. In this case, the NPO is the server vice provider and the government the main enjoyment. Nonetheless, the way these two sectors work is special and is important for the management of business (OM) scholars. A contrast, as previously pointed out, is that the public sector is based on the delivery of a quality of service which satisfies the average person, while the not-for-profit sector serves professional and specialized groups (Oster 1995). Another distinction is that fees are the main source of public sector support, while contributions are for the non-profit sector. Despite proof of

the involvement of three separate industries, we remind the reader that we address discrepancies between business and non-profit operations in a variety of ways in this report, but theoretically we do not speak about how a public activity can vary. The book by Pollock et al . (1994) should continue with OM re-seekers who are involved in evaluating public sector operations.

NON-PROFIT AND FOR-PROFIT ORGANIZATIONS

The research on non-profit administration discussed the major differences between NPOs and FPOs. Here is a list of variations with a focus on causes that make non-profit activities wasteful rather than profitable. The causes are universal but not total, and there are exceptions.

a)   Goals and Performance Metrics:

The primary purpose of an FPO is to achieve income from goods or services for its shareholders. An NPO can have many goals. Another other aim is to optimize the delivery of a service or good and reinvest in the interest of the NPO if the profits are obtained.

b)   Stakeholders' Size and Responsibilities:

The number of actors in NPOs appears to be more difficult than the ratio of FPOs (Anheier 2000, Euske 2003). This was the "law of non-profit uncertainty" that Anheier (2000) named (p. 8). A wide group of contributors includes members of the board, employees, donors, clients and beneficiaries. As a result of the desire for members to be represented in different political structures, and the need for the credibility and popularity to satisfy external funds raising needs (Anheier 2005), Nonprofit Boards typically are larger than Profit Boards. For NPOs, the broad pool of stakeholders limits executive power, which varies from broader autocratic influence over FPOs (Euske 2003). However, while FPOs are responsible primarily to their owners for their actions, NPOs are accountable to all their stakeholders (Hull & Lio, 2006).

c)   Specific Industries:

NPOs are found in businesses that rely on trust and credibility as the standard of the product or service offered can hardly be measured. It is especially true in developed countries which faithfully enforce the "no delivery cap" and thus prevent such organizations from falsifying their products' quality statements in order to gain extra surplus (Hansmann 1980). It is particularly true for developing countries. In fact, tax-exempt and supported operations are carried out by NPOs. Health care, healthcare, government protection, culture and arts and humanitarian aid are the most relevant fields. In Section 5, we speak about the most important organizational issues in each sector.

d)   Challenging Environments:

The political or social climate in which business and policy problems are more likely to emerge, for instance, is difficult to tackle in politically disadvantaged geographical regions, or very uncertain climates. As a result, NPOs in such environments are often the only type of entity delivering services. A main element that makes the administration of some non-profit activities highly complicated (Sahley 1995, Lewis 2001) is its activity in certain contexts.

e)   Financial Differences:

For three factors, the financial concept of NPOs varies significantly from that of FPOs. Secondly, NPOs depend on foreign contributions as a supply of equity resources that can restrict the transfer of funds to donor prerogatives (Fama and Jensen 1985); and thirdly, the 'non-distribution restriction' forbids the payment of net cash dividends (Wedig 1994). Another downside for NPOs is that they have a cheap price to offer goods and services relative to FPOs, while donors have failed to demand cash returns on contributions (Fama and Jensen 1985).

f)   Workforce Incentives:

Members of the NPOs have fewer financial opportunities than those of the FPOs (Mirvis and Hackett 1983) and are less driven to achieve social progress. Of this cause, because high wages are frequently at odds with the strict budget and charity target of the NPO, the willingness of individuals who hire and maintain high-quality employees of NPOs appears to be lower in pay and lower in terms of income than the staff who are benefiting from profit (Wolf 1999). Volunteers are often unique to the non-profit sector as a form of workforce.

g)   Risk Taking:

Management literature is persuaded that NPOs are more likely than FPOs to be averted by disaster (Wedig, 1994). This advertisement applies specifically to the number of multiple partners responsible for the company (Hull and Lio 2006) and to the fact that a NPO 's inability to accomplish its task puts it in danger of obtaining potential donations. Risk take-over is related to creativity and technical skills, two areas where the risk adverse conduct of NPOs is typically at disadvantage relative to FPOs (Hull and Lio 2006).

<div align="center">Insert Figure 1 about here</div>

THE NON-PROFIT SUPPLY CHAIN

A method summary lets one explore the different aspects of a non-profit project as seen in figure 1. A condensed description of a non-commercial operation provides, with the inclusion of contributors, the basic configuration of any company containing suppliers, providers and consumers (in gray in Figure 1). Some jargon has been modified for business activities: the manufacturer is the NPO and consumers are referred to as beneficiaries. As we have described NPOs, the recipient is the recipient and does not pay for the product or service offered by the non-profit organization. Donors and funding sources are also used in the process to make this supply chain entirely reflective of a non-profit process.

Donors are typically motivated by their own opportunities and positions in non-profit activities and may become an incredibly influential force. They also identify in the following Section the key issues facing donors. Donors will be involved in a non-profit exchange (represented by gray spires in Figure 1) of transfers of pecuniary and non-pecuniary (time and goods) donations. These flows are usually important because they contribute to a profitability that is unsustainable otherwise. In terms of countries, issues include the accumulation (e.g., collecting of funds) and the handling of contributions, discussed respectively.

We strive for a detailed paper and pick sources from a variety of areas, including OM, culture, non-benefit organization and socio-economics, in order to help explain the ideas put forward. The aim of this paper is to encourage and motivate researchers to establish significant models of theory and scientific study in this modern literary collection, and it analyses the characteristics of non-profit operations in an OM context.

OBJECTIVE(S) OF A NON-PROFIT OPERATION:

 Although the ultimate purpose of a business exchange is business, no one goal will adequately represent all NGOs. The lack of one non-profit performance metric means that it is difficult to compare various organizations equally, according to Anthony and Young (1988), by performing a simple, specific, quantitative study. However, the lack of this mechanism also makes it impossible for the same company to decentralize and delegate decisions.

The problems of identifying the right productivity metric for NPOs have been discussed in economics and management studies. Kaplan (2001) attempted to adjust the profit-oriented scoring scorecard system in compliance with the NPOs, for instance, by adjusting financial behaviour at the top of the scorecard against an overall goal or by adding donor prospects into the client prospects. Likewise, any FPOs (e.g., B-corporations) may apply the triple accounting methodology to NPOs

(Kim et al. 2016). In their book, released in 1986, economists James and Rose-Ackerman defined different kind of NPO goals: to optimize the priorities of management (quality, size, commodity type, profit or benefit minus cost of collecting funds) and to disregard the desires of recipients and contributors.

Insert Table 1 about here

OM researchers also build models with several objectives to test operations requiring many parameters or numerous agents. These models usually have no single "true" solution but instead, the goal is to consider a collection of non-configured solutions in which a non-configured solution (i.e. noninferior or Pareto optimum) is a solution that needs the loss of another to boost an objective. Specific multi-objective techniques of optimization are used to define this range (Daskin 2011) such as the aim programming and weighted sum method. Accordingly, several non-profit structures integrate an equity or justice target in tandem with another conflicting goal (e.g. Balcik et al., 2010a, McCoy, Lee, 2014). An equity calculation is calculated as competition in certain non-profit situations exceeds supply (see Section 4.4), and distributional equity is important to consider. Equity or justice represents that human beings agree that benefits, fines and services can be allocated based on multiple criteria: ability, necessity, equity and procedurality (Leventhal 1980). There is a wide list of equity tests, which include the most agreed and axiomatically supported tests of proportionality and max − min parity (Bertsimas et al., 2011). (Leventhal 1980). The mixture of metrics of equity and performance is also used. Please notice that productivity is often used widely in the income field and represents the performance / total production ratio for operations.

Certain common metrics in the benefit industry can also be taken into account of voluntary programs of addition to performance. Another of the most commonly used metrics is efficiency, which is the total value which determines the degree to which a need has been met and its negative consequences mitigated (Savas 1978). Nonetheless, other scholars (Savas 1978, Johnson and Smilowitz 2007) claim to be the simple and necessary contradictory metric for performance, efficacy and equality which is recognized by the public and can be implemented in non-commercial operations. One example of this is Swaminathan (2003), who implements an NPO free delivery of medications in several clinics by income, productivity and efficacy initiatives. In addition, each particular non-profit sector has unique signature characteristics that influence the form of metrics to be used, such as humanitarian relief time or quality-adjusted health care year. Equality, social security, poverty reduction and prosperity are others interventions which are especially related to non-profit activities (Berenguer 2016).

The presence of multiple agents in a non-profit project compounds the complexity of evaluating this form of project as there are competing and short-sighted goals for each agent. Coordination challenges in various projects have been due to inefficiencies: global health care procurement networks (Kraiselburd and Yadav 2012), humanitarian infrastructure and community-based activities (Thomas and Kopczak 2005) (Johnson and Smilowits 2007). Within the next segment, we will begin to discuss teamwork problems.

Elements in a Non-profit Operation

Within the following section, we clarify the position and ties with other organisations of each stakeholder within non-profit operations. They continue by de-scribing the inter-organizational partnerships between the NPO and NPOs by non-profit organizations (NPOs and FPOs). Instead we negotiate partnerships with the NPO contractor with the other non-profit participants (Suppliers, Donors, and Recipients). The situation of the donors is given special consideration as there are specific problems and unique approaches that can be used to address the challenges. The lack of systematic contracting in the industry, and insufficient investment in information management technology (Bradley et al. 2003, Tomasini and Van Wassenhove 2009, Kraitburd & Yadav 2012) have traditionally compounded coordination challenges between the different players in the non-profit supply chains.

The Non-profit Provider

The intra-organisationally organized NPOs that are usually more autonomous than the FPOs are discussed in the first case (Oster 1996). This decentralisation is attributed in part to the fact that local branches (last-mile companies) are committed to their roles, and thus, their goal is to respond to their beneficiaries. This local emphasis, along with the lack of investment in training technologies due to tight budgets, can generate uncertainty of knowledge across the various branches of the NPO, leading to high administrative costs, which can contribute to inefficiencies (Bradley et al . 2003). The allocation of funds for different NPO units is another factor which exacerbates decentralization. A single agency may, for example, carry out different initiatives (for instance malaria, school programs) in Kenya in one province like World Vision International (WVI). The programmes, which are funded by many sponsors (Bhattachariana et al. 2014), are not permitted to exchange capital such as the use of cars or spare parts. In terms of internal systems, it was empirically checked that NPOs favor a business-type franchise to the standard FPO business (Oster 1996). The franchise model allows the territorial branches (franchisee) the level of flexibility required to handle their activities and budgets independently of the NPO central office (Bilodeau and Steinberg 2006).

NPOs' Relationships with Other External NPOs:

Oster (1995) says cooperation is more prevalent among NPOs rather than between FPOs. Several causes, including mutual principles and goals, shared volunteers, similar lines of action with frequent experiences and the opportunity to participate credibly in cooperation and low rivalry benefits, promote collaboration. Both stakeholders may benefit greatly from exchanging capital and through the delivery of services. Advanced treatment and development can be seen, for example, as NPOs partake in interagency cooperation and leverage shared tools (monetary and nonmonetary) and resolve such serve-vice discrepancies in the strategic course of care reform (Sowa 2009). The clearer example in the literature on humanitarian operations is the organized use by numerous organisations of the information technology (IT) method for strengthening the last mile delivery in refugee camps following the Ergun (2010) and coll. (2014) earthquake in Haiti.

In comparison, a variety of factors hinder NPO cooperation. Bhattacharya et al. (2014) claimed that distribution of funds, collective decision taking and extreme budget limitations are these main constraints, analogous to the problems of intra-organizational cooperation. Donors prevent organisations from collaborating together by financing individual groups to deal with a certain specific problem on the grounds of their independent success. This makes it impossible for various NPOs to share resources and, when resources are scarce, increases competition. In reality, NPOs will participate in the same pool of assets, salaries, board members, staff and/or receivers. In early stages of relief action , for example, competition is normal where large levels of profit and high levels of support occur, and organisations refuse information because it provides them with a comparative edge over others (Balcik et al., 2010b). Another example is social marketing NGOs which compete for customers and finance in the same region (Ritchie and Weinberg 2000).

NPOs' Relationships with External For-Profit Parties:

Non-profit organizations are more and more mindful that partnering with profit-making groups will help one another. At the other hand, private companies will benefit from incentives to boost the positive footprint and perform their corporate social responsibility duties (Tomasini and Van Wassenhove 2009). NPOs are acquiring money and skills from the for-profit industry. Many example initiatives such as the CARE Starbucks Partnership have been developed under which CARE has served as the expert supplier of Starbucks' construction programs, and Starbucks publishes and shares with CARE the proceeds from the selling of unique coffee packages from project countries (CARE 2016). There are other reasons for this collaborative approach. The FedEx supported Heart to Heart International in response to humanitarian disasters by contributing packages and supplying them easily in return for advertising, was another successful relationship (Weinbaum 2016). This form of relationship was researched widely by non-profit management scholars (such as Austin 2000, O'Regan and Oster 2000). The multiple opportunities of profit-

oriented and non-profit employees (as stated in sections 1.1 and 4.6) pose these relationships challenges. The expectations and the preparation of management in these two forms of companies are distinct, according to O'Regan and Oster (2000), finding it difficult to decide to contract terms as well as to conduct activities effectively.

For other conditions, NPOs interact with FPOs. In certain cases, both NPOs and FPOs in one sector may be funded by a foundation which promotes competition. The Medicare and Medicaid programs, the school voucher arrangements and workfare systems are examples of them (Tuckman 1998). Although NPOs have a competitive credibility advantage, they may fail to manufacture a product or service of better quality and cheaper than FPOs. Oster (1995) argued that unfair competition rather than total competition was usually experienced, i.e., retail rivalry and not mere fair prices. It is also important to remember that these two groups of businesses are concentrated in many niches of the industry. Of example, in the neighbourhoods where the mid-to-higher-income communities are residing, large premiums can be paid to offset their expenses in relation to childcare; non-profits typically exist at the cores of cities and near-low-income populations. This variance is consistent with the principle of market competition, where benefit is not equal to the market. In fact, rather than taxes, the willingness of NPOs to collect funds will help them stay financially solvent (Oster 1995).

Many non-profit organisations are now carrying out financial activities that help fund their main non-profit projects (i.e. cross-subsidized, for further information see Section 4.2). FPOs can argue unfair competition where a NPO process, for instance by tax-exempt outputs, is subject to subsidization (Weisbrod 1988).

Suppliers

According to the complexity of non-profit practices, the non-profit context can not be explicitly related to other processes or methods involved in controlling the interaction between suppliers and income suppliers. The collaboration between vendors and NPOs is not valued, for example in humanitarian aid, methods used by the market community to enhance organizational cooperation such as no-show penalty fee or overbooking (Dolinskaya et al . 2011). OM scholars typically say that there are no malevolent arrangements between vendors and non-profit-makers in the humanitarian aid market, which cause challenges regarding the possibility of shark profits and costs (Balcik et al. 2010b, Dolinskaya et al. 2011).

In-kind contributions constitute a form of supply, which is unique to non-profit sector and can be found in any field of activity. This method of donation is ambiguous in nature and may affect the daily purchase of materials. In the one hand the amount of supplies procured may decline in average because of in-kind donations; the approval of in-kind donations on the other hand may increase the variation in the process of procurement. A new category of supply-related stock is being applied to the gifts in-kind and services received in the field of humanitarian relief operations. Although there were three supply sources Balcik and Ak (2014) argued that the post-disaster procurement strategy in humanitarian relief operations is the most traditional sourcing process, which relates to standard procurement processes in revenues. This review indicates that innovative contract structures that take advantage of the particular characteristics of the supplier-provider partnership have a potential to be learned and implemented.

Donors

The influence of donors is essential for non-profit organizations which rely on donations. The sum of funds generally decreases. Big donors can shape potential agendas and commitment and help track the achievement of non-profit transactions (Fama and Jensen 1985). This position of the donor is motivated by the absence of a stock market and the absence of transparent and quantifiable non-profit success metrics (Oster 1995). Throughout the early stages of start-up growth, specifically, the positions of angel and risk capital investors may have similarities with the position of donors throughout NPO's.

They discuss the features of the vertical relationship between donors and NPOs and the horizontal relationship between various non-profit donors.

Donors' Relationship with NPOs:

The government is the largest contributor to NPOs in the United States. The economic literature on the transactional model (for instance, DeHoog 1984 and Grønbjerg 1993) provides analyses of the interaction between the government (donor) and non-providers. This model provides government financial support in order to minimize the expense of start-ups of NPOs so that they can adapt rapidly to particular neighbourhood needs (Salamon 1987). The donor-provider contractual partnership in non-profit projects is being analyzed by OM researchers. Privet and Erhun (2011) analysed auditing-based arrangements between a funder and NPO in support of the above compliance position of the donor within the context of the principal agent. The report demanded thorough auditing of the non-profit sector to boost overall performance.

Governments and foreign organizations are funding Organisations to take out such activities that provide socially-impact goods or services (e.g. electric stoves, vaccines, food). This relationship has scarcely been explored by OM researchers who have an NPO. One example is Berenguer et al. (2017a) that contrasted an extra- and endogenous pricing to the purchasing and selling of a donation by means of a profit and non-profit process. They find that a purchasing subsidy is often more successful when the beneficiary of the funds is a NPO. It does not necessarily extend to FPOs, however, where revenue discounts are preferred where there is a high cumulative subsidy and the client has market control.

Multiple Donors' Relationships in the Same Non- profit Operation:

Empirical reports have found that the activities of large donors in different non-profit fields have persistently not been organized (Aldasoro et al. 2010). One of the key reasons behind this inability to co-ordinate is that it introduces higher transaction costs and generates adverse opportunities (Bigsten 2006). OM's research has recently validated the study in the area of public development and humanitarian assistance, two non-profit fields that are usually involved in big global activities. Berenguer et al . (2016) have empirically found that donation distributions from numerous donors improve public health policy inefficiency. In the field of humanitarian aid, a mixture of numerous donors and a highly centralized blend of emergency management and growth programs have been found to contribute to reductions in service levels (Besiou et al. 2014).

In the literature of development economics (e.g., Knack and Rahman 2007) as well as in the global OM literature on health (e.g. Kraiselburd and Yadav 2012), many solutions that can establish an atmosphere that facilitates donor cooperation have been explored. This can be divided into two major strategies: the creation of a leading coordination group and the dissemination of numerous donor success indicators by autonomous organizations.

The first approach could be a leading Donors' Agency (e.g. a U.N. organization, military department), a supra group, a alliance or association with the grants (e.g., Interagency Supply Chain Group) as well as the local Government (e.g. the Global Fund or the Clinton Health Access Initiative). The organizer will provide for donation pooling; supervise transactions of goods, transport and storage and encourage the exchange of capacities and knowledge. Pooling thus makes monitoring the effect of individual donors' funds difficult, if not impossible, so that donors are not fully transparent to their specific contributions (Kraiselburd and Yadav 2012, Gulrajani 2016). With respect to disaster relief, the Co-ordinator indicated that awareness, cohesion of mission, trust and the brand identity for the partnership would be the key goal of Stapleton et al . (2010). Further, Dolinskaya et al . (2011) noted the most powerful communication system for humanitarian aid to be co-ordinated by order.

Local distribution firms serve as coordinators in the competitive industry by supplying vendors in the same profit-making supply chain with market and logistics facilities. Li & Fung, specializing in the combination of retailers (uncertain demand) with suppliers (capacity), is an example in the

consumer goods sector. Although this kind of FPO may serve as a non-profit organizer, this never takes place.

The second approach is for individual agencies, such as the Center for Sustainable Development, to disclose specific success indicators (for example, think-tank organizations) for donors. For example, "how each donor raises assistance through receivers and industries" and "the extent for which donor delegations are accountable" (Knack and Rahman 2007, p. 196). The publishing of these statistics could enable donors to minimize the repercussions of donor division through their ability to collaborate together with other donors or through a reduction in donation engagement. Nonetheless, we also do not know the extent of effect of this technique and the precise metrics of its success to accomplish this aim. This approach has similarities in the profitable market, where autonomous organizations, such as their climate results, report certain facets of the success of FPOs publicly to increase the accountability of FPOs.

Beneficiaries

The categories of 'clients' in a public managerial literature for a non-profit organization can be listed as the paid customers, beneficiaries and contracting bodies (Alford 2002). Beneficiaries provide the commodity free of charge, meaning that they do not partake in a commercial transaction with the retailer. The big problem for this category of consumer is to the goods sold or sequence vices that are constrained by budget limitations, rather than to seek to satisfy the maximum potential demand. In fact, the classification of consumer payments and non-payments is another important judgment. Obligates must be compelled to be held; thus, in a private non-profit jail they are held against their will, for example. This distinction shows a few major differences between the non-profit clients and those with a profitable business. We apply to all sorts of client in a non-profit company as beneficiaries for convenience purposes in this article.

For any project, market volatility is an obstacle, but in non-profit operations it is especially popular. The absence of shared information between different stakeholders and, (2) a lack of funding to data collection, monitoring and demand forecasting are the most important reasons why non-profit operations frequently face sudden shifts in demand (especially in disaster relief situations). That is valid particularly in developed regions where accurate statistical knowledge including consumer sizes, income rates or even the cation of specific populations is very difficult (Levine et al. 2008). The same applies to emerging regions. Furthermore, the long-term advantages of data collection and interpretation to forecast that leads to a deficit in support for this reason are not understood by most NPOs (Bradley et al. 2003).

If the emphasis is on resource and strategic decision-making to mitigate the influence of market volatility, NPOs may build policies, mostly used in the profit-making field. Below is a list of these approaches, with examples of the non-profit sector studies and deployments:

Strategic methods such as agile supply chain and pull system (or pull system) (Oloruntoba and Gray 2006); finding and resource control techniques (Akkihal 2006, Balcik and Beamon 2008, Apte 2009 and Apte 2011) and storage (Beamon and Kotleba 2006, Bravata et al. 2006, Adida et al. 2011); Stochastic functional programming as a method for making strategic decisions (McCoy and Brandeau 2011, Lien et al. 2014); Future de- task modeling methods (Levine et al. 2008, van der Laan et al. 2016) and Process dynamics (Fleßa 2003) models and Simulation (Das et al. 2008).

ACTIVITIES IN A NON-PROFIT OPERATION

In this field, we examine the most fascinating and difficult practices of non-profit operations, including raising donations, cross-subsidization, donor management, distribution of materials and services, pricing and employee management.

Fundraising

Originally, NPOs have different ways of collecting funds than FPOs because of the fact that they cannot sell bonds and cannot effectively receive loans backed by contributions of shareholders

(Privett 2012). The most common ways to raise funds are by seeking donations, winning grants, employing volunteers, charging fees, using bonds, etc. A key organizational challenge in conjunction with fundraising is to determine how much capital will be spent in funding activities. In reality, competition for donations may raise the expense of raising funds to a point that would be desirable to donors. The fundraising campaign, Oster (1995) said, should pursue a median model, and fundraising would be increased if fundraising activities generate higher profits than nominal costs. The determinants of donation are characterized by a common problem. Empirical studies have analysed the effective and efficient implementation of a variety of methods, such as direct communication (Durango-Cohen et al. 2013) and engagement between donors and organizations, including class re-union of alumni (Netzer et al. 2008). Therefore, frameworks have been developed for rising (public or private) donation revenues. For example, McCardle et al. (2009) used a utility function model to demonstrate that a graduated donation system encourages the beneficiary agency, since different rates contribute to different reputations, to accept greater donations.

Charity auctions are held to collect funds for their programs through charity organisations or NPOs and are regarded as a type of non-profit auctions. Engers and McManus (2007) compared equilibrium bidding and revenue across three charity auction formats: first-price winner-pay, second price winner-pay, and first-price all-pay. Theoretically, the all-pay auction dominates the winner-pay auctions. For an empirical study of bidding behaviour in charity auctions and lotteries, refer to Schram and Onderstal (2009). An interesting practice that is used in the for-profit sector and could be commonly adopted in the non-profit sector is crowdfunding, through which ventures or pro- jects are funded by raising many small amounts of money using the internet as the major platform.

Cross-Subsidization

If finances are not available and revenues are a possible income source, cross-subsidization is a technique consisting of combining non-profit and business activities with charitable programs. NPOs in the health and arts and entertainment industries have adopted this technique. The Aravind Eye Hospital in India, where successful charging centres subsidize treatment in free hospitals, is a case in point of cross-subsidization. An example of OM' s activities in this region is de Véricourt and Lobo (2009), who researched the dynamic sharing of hospital funds to optimize gains in the social sector in these two income forms (dons and sales) between profit and non-profit operations. Segal and Weisbrod (1998) in economic literature claimed that those two forms of income are not distinct, calculating a variety of systemic and reduced analytical models, using data from five separate non-profit sectors, which indicate that the relation between donations and sales is substantially negative. They claimed that donations crowded up businesses because NPOs are somewhat averse to trade because they do not completely exploit their profits not relevant to the project. This subject can be explored further in OM research; researchers may study this dependence and investigate the relation between sales and donations in order to boost forecasts or fund-raising efforts for donation.

Managing Donations

There are three types of revenue sources for a non-profit business: fees based on a view of services or goods, government grants and private donations. To gain insight into the weight of each of these income sources, the study by the Studies of Civil Society University, John Hopkins, shows that on average, NPOs in 12 countries receive 43% of their income from service charges, 32% from government sources, and 23% from private sponsorship donations (Salamon and others). Private sponsorship may also take on three fundamental forms: cash, time, and goods (or goods) and each form has its own unique features. For simplicity's sake, we use the word "donation" in this pa-per-lis to mean any influx of proceeds which is not a service or product fee. The key features of two different forms of donations are listed in the beginning of this section. We then emphasize the main problems involved with certain forms of donation in terms of donation administration, allocation and managing ambiguity. Strategies are often presented to overcome these problems as each challenge defines them.

In-Kind Donations:

In-kind donations are made for offloading excess stock, claiming tax deductions or entering new markets (Hellenius and Rudbeck, 2003). Persons contribute in-kind donations to aid, and others tend to contribute in-kind donations over cash on the grounds of confidence and effectiveness issues (Ülkü et al. 2015).

Non-profit providers, however, prefer to make in-kind donations with cash donations (Tomasini and Van Wassenhove 2009). Cash donations are versatile because in essence contributions are given to outlets that are not readily organized in order to match the right timing and duration of demand. Cash donations give you versatility. In addition, the quality of service may not be adequate and the money for relevant activities should otherwise be allocated to handle, sort and check the in-kind donations, which entail costs. The beneficiaries of in-kind donations should therefore determine whether there is need for these things and whether this form of donation is worth accepting (Hellenius and Rudbeck 2003).

Ülkü et al. (2015) analytically examined this issue by replicating the donor decision whether to make a contribution in cash or in-kind. They have developed a model for maximizing the total amount collected by the NPO while minimizing unwanted or inadequate donations. These scholars identified the optimum cash to be obtained and proposed the minimum amount of money demanded.

Grants:

We identify grants as gifts, as stated earlier, but they definitely have other unique characteristics. The time limit for grants is more precise, in which NPOs must qualify for and petition for a specified sum of funding. Granting organizations assess, and once a grant is approved it is meant for a particular (significant) reason. Important facets of the process include the estimation of the amount of money to apply for the grant and the list of applications. Empirical studies have established the associations between various forms of donations with the total portfolio of donations of NPO. Increasing government grant amounts reduces the funding efforts of NPOs (Andreoni and Payne 2003). For example, it was tested that government grants crowded private donations. The outcome may be unfavourable as the NPO collects less contributions, but it may also mean that government grants are a more effective corporate fundraising technique.

Earmarking:

Relevant programs can be funded for non-profit contributions. In addition, the allocated funds constitute a large portion of all their support for other foreign agencies. In 2012, for example, 70% of the UN financing was earmarked and 40% for the World Bank Group (Tortora and Steensen 2014). Although appropriations will cut expenses and expand the number of Member States, they have a negative impact on the budget that causes various inefficiencies. Toyasaki and Wakolbinger (2014), particularly in connection with humanitarian relief, found a lower overall percentage of the fund-raising costs in connection with allotted private donations. Ineffections of the use of unnecessary fleet sizes by NPOs which enforce vehicle replacement policy with allocated multi-donor donations (Pedraza-Martinez et al. 2011) were however found. In the integrated supply chains of cars, declined rates of operation were also found with allotted funds (Besiou et al. 2014). Aflaki and Pedraza-Martinez (2016) find that expanded awareness of the public about development projects makes agencies no longer collect any funds earmarked for emergency efforts, a combined analysis of crisis and construction operations. Lack of faith, as suggested for in-type donations, is one of the key drivers of committed donation. Increased transparency will also boost trust and minimize funding by awareness of NPO activities and results.

Uncertain Donations:

Individuals and private corporations make contributions that also do not require concrete or time-specific obligations or agreements. This leads to unreliability of commitments which allows both the quantity as well as the timing of donations (special and non-pecuniary). The performance,

scalability and profitability of non-profit operations are influenced by these factors greatly (Lewis 2001). Below, we recommend a variety of approaches which can help to reduce donation confusion. Such techniques can be categorized as "ex ante" or "ex post," where estimation and financing are very specific methods in the benefit field, and "ex non" (performance finance payment [PfR]).

The future donations are predicted by a standard OM method to alleviate the effects of supply uncertainty. For examples, Davis et al. (2016) used predictive modelling to determine a local food bank for potential non-nation nations. Financing is another continuing approach to reduce volatility in donations. The Pledging Guarantee for Health is, for example, a bridge funding system intended to minimize funding uncertainty by encouraging short-term loans while ensuring potential donor contribution to health services procurement. Operational approaches may be used where the previously described techniques are not available. For instance, Natarajan and Swaminathan (2014) proposed the optimization of procurement policy using a finite-horizon inventory review model, where the credit is inaccessible and external funding is timely unreliable. Among other findings, this study has shown that it could in effect be easier to obtain partial funding in good time than to postpone full funding.

The PfR solution includes postponing until after a procedure is carried out and effects are obtained. This approach involves delayed payment. This form of funding feedback loop continues to be analysed by OM researchers. For example, Devalkar et al. (2016), by modelling a trade-off between the inputs asymmetry and exposing NPOs to deficiency risk by making financing dependent upon production, have explored the gap between conventional funding (i.e. ex ante financing) and PfR finance. We found that PfR is not necessarily the right solution from the viewpoint of social security as PfR excludes a significant sum in the project where there is strong production ambiguity. Devalkar et al. (2017) proposed that the conventional donors support ex ante and even ex-post donors using a mixed funding strategy. Such scholars discovered that this hybrid method could carry the conventional financing solution two times as well.

Allocation Policies

Specific materials and grants are also available to non-profit organizations. In addition, often free or at a rate greater than their total cost, services or products are offered. In these conditions the supply is quickly overwhelmed and a policy of preference or rationing dependent on equity and other non-profit initiatives must be developed. Theoretical Rationale was considered for customers of various priorities, e.g. Topkis 1968, where customer asymmetry exists and where the priority class does not apply, for example Cachon and Lariviere 1999. Theoretical Rationing was studied in the field OM. The literature in this field focuses primarily on the relationship between manufacturer and consumer and key targets are benefit and expense. Possibility of rationing strategies that are commonly employed in non-profit operations are warning lists, explicit queuing and First-coming schemes. FPOs would like to stop this and opt for capacity expansion or demand increases (Steinberg and Weisbrod 1986). In cases where eligibility criteria for rationing purposes has been set, the discrepancies between NPOs and FPOs are also expressed. NPOs also limit their access to those unable to pay for the products or services or to a particular destination community that is more likely to benefit. FPOs, however, prefer to use criteria for qualifications to assess their unobservable ability to pay (Steinberg and Weisbrod 1986).

Rationalization is particularly necessary in humanitarian relief and health-care activities with respect to numerous non-profit applications. No report on humanitarian relief offers the basic target criteria for situations where demand exceeds supply, according to de la Torre et al. (2012). However, the most vulnerable, especially for malnourished children, are the common practice. Many humanitarian organizations are adopting the Sphere Handbook to fulfil the minimum criteria of a specified segment of the population (Sphere Association 2018). Organ allocation is a resource distribution problem in the health care system, where demand exceeds availability. This issue has been extensively studied in OM. For instance, Zenios et al. (2000) have solved a challenge in allocating complex services to patients identified with kidneys. One performance and two inequity factors were built into a three-criteria objective method. A further example is Alagoz et al. (2004), which

employed a decision by Markov to check the best timing for a liver transplant with a live donor. This study maximized the health of the individual, as the standard of life expectancy has been calculated. Such distribution choices may be made between NPOs and FPOs, where FPOs cannot automatically pick quotas that actually increase the income due to laws and other future restrictions. In various cases in which NPOs or FPOs are accountable it would be important to review the allocation policies.

For any of the above-mentioned non-profit cases, the products and resources sold can be regarded as serving essential needs; thus, a surplus in such an operation will also lead to loss of life, which brings priority to managing possible scarcities. In order to represent and limit this occurrence, OM scholars have developed a number of modelling tools. The following tools are provided: Defining unmet demand scarcity expense in prioritizing the removal of supplies (e.g., the Pierskalla 2005 identified blood center scarcity costs on the basis of emergency blood collection , handling, transportation cost); offering alternate urgent facilities (such as Nagurney and others 2009 established supply chain networks to outsource production , storage and distribution c. supply chain networks

Pricing

Cost in non-profit activities is traditionally used to monitor the distribution of resources to the beneficiaries rather than to raise sales motives. While FPOs usually set lowest rates at or above the marginal cost of servicing a single client segment, rates for low-income consumers are often below their marginal costs for non-profit operations. Nevertheless, income-generating NPOs tend to implement innovative pricing systems, such as value-driven pricing and competitive demand pricing (e.g. arts and entertainment NPOs), focused on a for-profit market. To order to determine how cultural variations occur, it would be useful to further research these market systems to non-profit contexts.

The NPOs have listed the most general pricing arrangements used by Steinberg and Weisbrod (1986): free to all entrants, uniform fees and a more elbowed structure. For the latter, sliding fees, multi-part pricing and non-linear limit and deductible pricing are the most common schemes for NPOs. The latter, sliding fees. Such researchers believed that NPOs use sliding rates more frequently than they do as NPOs do have a wider selection of income-based clients as they represent consumers who do not want to or are unable to pay. Consequently, the prices provided by NPOs are special. Furthermore, as consumers support the mission of the NPO, they are more willing to show willingness to pay and more ready to take the redistribution of this kind of price mechanism into account.

This is not advisable to charge a premium on such goods and services (e.g. disaster relief). In determining whether to charge fees, Oster (1995) identified the factors to be considered. The avoidance of charges when selling public products (i.e. products which do not incur marginal expenses as offered to others); where the goods or services are purchased by major beneficial externalities; when the charges for receiving the goods or services are higher than the profit gained from the charging fees; and when donators or workers believe it is non-paying FPOs may provide free service, but usually provide free services to clients who they know have the potential to become paying customers or, through price discrimination, even to particular market segments (Chestnut et al. 2016).

In the result, NPOs have a sort of pricing — where recipients, for example labour or services, are required to pay in a non-monetary manner (Steinberg and Weisbrod 1986). It is used in assisting the NPOs' mission explicitly or in supplying essential services such as manpower and materials.

Workforce Management

NPOs are usually more labour-intensive than capital-intensive; hence managing workers is a very important task. Volunteer recruitment and the retention of paying employees are the two major problems in handling the workforce in NPOs.

Voluntary work is one of the characteristics of the non-profit sector. According to the latest 13-country report (Salamon et al. 2013), volunteers constitute an estimated 2.2 percent of the overall workforce. In the modelling of this job category, Bilodeau and Steinberg (2006) outlined a variety of main issues to be addressed. The first is to model charitable service the manner in which cash contributions are modelled. In addition, these researchers note that empirical works have shown that time and money donations are complementary to each other. The second key point is that, though the volunteer service is unpaid, it requires the same recruiting, preparation, management and retention expenses as those faced by an organization's paying employee. Because volunteers are under no formal responsibility, the control of unpredictable actions is one of the main challenges. So¨nmez et al, (2016, pickup volunteers and gleaning foods have also stochastically modelled voluntary labour as a stochastic method for gleaning of the food banking market, optimize total volume gleaning. The model is an example of OM research in this area. For eg, by having organizational system for volunteers comparable to the personnel hierarchy (Oster 1995) or appointing volunteers to interesting activities related to the NPO projects rather than boring ones (Wolf 1999). NPOs must allow the required incentives to retain the volunteers engaged and that this confusion. This behavior means that volunteers and paying staff collaborate in a certain way. This sort of planning issue could be area for potential OM studies.

The wages and the benefits of paying NPO employees are smaller than the paying FPO employees, as stated at the beginning of this paper. The salary disparity should be viewed as a contribution to the project of the NPO (Weisbrod 1977). While NPO employees are self-selected, with less driven financial incentives and social change, the turnover rates for NPOs are higher than for organic companies in other sectors (Non-profit HR 2016). (Non-profit HR 2016). Established techniques for retaining talent can include attempts to identify staff, versatile opportunities for employment and counter-talents for professional advancement, but these may be viewed by NPOs as "luxuries." However, NPOs appear to underestimate latent termination costs, which may be far higher than retention costs (non-profit Leadership Partnership 2018).

DIFFERENT TYPES OF NON-PROFIT OPERATIONS

NPOs and, by extension, non-profit activities are categorized in many ways. NPOs, for example, may be categorized in their primary intent and practices as advocacy or welfare organisations (Lewis 2001). Non-governmental organizations, particularly in areas relating to social rights and the environment, work at influencing the government to do "the right thing" to seek to improve the state of affairs. NPOs lack services that meet particular needs, such as education and health care, and then dedicated that providing goods and services. Another common NPO division differentiates relief and growth practices. A short-term rescue activity aims at providing goods and services to reduce acute safety and survival risks. Alternatively, a construction project is a lengthy, collective sovereignty and preservation project.

Non-profit activities should also be listed in accordance with their varying requirements. Education, healthcare, government programs, the arts, music and disaster recovery are the most important fields. The following elements are analysed for each region to demonstrate the unique organizational problems.

Healthcare

For healthcare the NPOs play an important role: some hospitals, treatment centres in the city and certain healthcare organizations such as blood banks are NPOs. The economists have taken careful note of nursing homes, believing that there has been a glut of non-consumer nursing homes, as the standard of service is not easy to determine, because the actual recipient is not a reliable information source (the same is true in regular care centres). Thanks to the non-distribution limit, NPOs have a smaller chance of using the network for the delivery of low-end resources (Hansmann 1980). Cross-support and federal compensation schemes for services provided to patients are standard financial practices found in the field of healthcare. Any organizational issues in this field include the issue of

organ selection, preparation for finite capital (for example, beds and staff), and issues with the medical facilities. Relevant treatment interventions such as the quality-adjusted year of life (QALY) and the disability-adjusted year of life (DALY) may be considered for these issues. Further problems relating to having opportunity to die (e.g. liver, blood) and requirement confusion (e.g. deliveries of patients) are important in healthcare operations.

Global healthcare is a separately listed sub-area of healthcare. The goal of global healthcare is to provide people in low and middle-income countries with critical medicine. It calls for a multinational project spanning a wide variety of players engaged in drug production and delivery (Gallien et al. 2017). Public health experts believe that many of the organizational issues found in this area are due to communication problems among various players whose priorities are vastly different (Kraiselburd and Yadav 2012).

Education

The involvement of NPOs in the field of education is significant, but the OM group has not received much attention. One challenging situation is the situation of college enrollment, which can be measured as a healthy problem of marriage (Gale and Shapley 1962). A second very specific issue in education is revenue management, which usually involves a mixture of tuition fees, government funding and private do-nations. Fundraising approaches aimed at increasing private donation became more important as school support was decreased by public institutions (Durango- Cohen et al. 2013). The effect of partnerships between various institutions on the development of information is another important topic in the education sector. One reason is that non-profit colleges have produced lucrative spin-offs (Gumport and Snydman 2006).

Community Services

Within the field of group-based organizational analysis (OR), the OM group has researched neighbourhood vices (Parry and Mingers 1991, Johnson and Smilowitz 2007). We apply to a service given to a local group or to a particular target demographic that is underserved or underrepresented. Of starters, food, energy support (e.g. weatheriza tion program), homeless shelters, family construction housing and financial advice provide products and resources. The problems associated with tar-get population selection are typical for this form of NPO. In fact, since the NPO is closely related to its final clients, facility location, site planning and implementation decisions are the most important organizational issues. A persistent discussion is still under way about the use of equity metrics in combination with initiatives for productivity and performance (Johnson 2011). The United States has a close link with the government through the Community Action Initiative, a large number of community-based organisations called community action agencies. The numerous funding processes and the ultimate power-control relationship between donors and NPOs in this System are very different (Privett 2012).

Arts and Culture

Price discrimination on the basis of various types of seats is commonly used by performing arts organizations. Furthermore, the NPOs in this industry may ask people to voluntarily pay an extra amount if the ticket price is less than the performance value. The non-distribution restriction (Hansmann 1980) implies that this approach is efficient. Cross-subventioning is also a very popular art and culture method used by NPOs. Museums, for example, encourage strongly gift shops and special displays that finance events which are inefficient but which support the NPO project. The price and the amounts of these profit-generating operations (Rose- Ackerman 1986) contribute to certain judgments on this activity. There arise interesting questions such as whether they damage the NPO 's name or whether the NPOs compete with similar activities offered by FPOs by offering these activities. A second important problem is the recruitment and retaining of volunteers, and the interpretation of the tasks they will be allocated to, since these duties may conflict with those of paying employee (Wolf 1999).

Disaster Relief

Most organisations, including some unwelcome in-kind contributions, rely on donations (Kova'cs and Spens 2007). Another important aspect of disaster relief is that it is simple and instant. Prevision, preparation and co-ordination are often highly complicated activities. Prepositioning is, thus, a very necessary and specific technique relevant to this form of activity. As the transactions are typically brief and unpredictable, success measurement research have been especially prevalent on disaster relief operations, focusing in particular the reaction times evaluation (Beamon and Balcik 2008, Schiffling and Piecyk 2014). The following findings include: Altay and green (2006), Ergun et al. (2010), Thomas and Kopczak (2005), as well as Van Wassenhove (2005).

CONCLUSIONS

The study of non-profit initiatives is still under-represented in OM as new, important field of science. Analytical and methodological frameworks will be built that are specific to non-profit activities. Several attempts in this direction have been made in recent years. For e.g., the newspaper Annals of Operations Research has published a special edition of "Senuany-Sterner and Sherman, Operations Research in the Public Sector and Non-Profit Organizations," and a particular topic of "Non-Profit Operations" and a book chapter (Feng and Shanthikumar) has been published recently. This paper will encourage potential non-profit OM work by outlining key characteristics of these operations and the key problems and solutions that have already been established in Table 2. To conclude this article, some important recommendations are now established that we feel the OM group deserves further focus.

Operational Decisions and Efficiencies

Several operating judgments can be streamlined and enhanced for income-generating NPOs by activities focused on profit-based processes. For the most part, NPOs can use better pricing systems, such as value-based pricing, dynamic pricing or global supply chain pricing for transfer. Investing in marketing is not necessarily a business decision that is unique to FPOs and should be explored by NPOs. The interdependence of donations and sales is demonstrated and this relationship can be utilized in order to improve prediction and fundraising. The scheduling of work forces is another operational decision that has particular characteristics for NPOs because they face uncertain volunteer flows, austere salaries and task-based incentives. OM researchers may help NPO administrators develop staff preparation approaches that incorporate these characteristics into account.

Skills related to scalability and sustainability are especially vulnerable to nonprofit activities. We suspect that the missions and funding constraints of operations are major reasons for the instability, as NPOs are being pressured to respond. This form of setting opposes good activities such as the use of scale economies (Euske 2003). We urge OM researchers to discuss these concerns further.

Strategic Decisions: Coordination Problems and Investment Decisions

As we discussed just now, NPOs' incentive to fulfil their social priorities helps them not to reflect on the productivity of their activities but to respond to the recipients. This can hinder planning and adversely influence decisions regarding long-term investment (Sahley 1995), in addition to any funding. As discussed in this article, the lack of investment in information technology is a major cause of this issue. The accessibility of knowledge, as often seen in the benefit sector, would reduce inefficiencies that maximize the utilization of capital by an organization and may boost the social objectives of NPOs. Formal analyses of the impact of knowledge (economic and social) on non-profit programs will also be very valuable.

More research is required on frameworks for cooperation which can facilitate successful collaboration in non-profit operations between various organizations. For example, a Command Operation is a effective method for humanitarian aid non-profit activities, although this process varies greatly from contracts usually found in the business context. In addition, there are unique characteristics to take into consideration in contractual ties with NPOs. The efficiency metrics used, the production chain mix, the funding system and its drawbacks should be given special

consideration. Interesting are systematic research on the importance of (social and economic) cooperation.

Insert Table II about here

EMPIRICAL RESEARCH AND BENCHMARKING STUDIES

To our understanding, the OM literature has not performed systematic comparisons of results between operations of NPOs and those of FPOs. Health care and education are two different applications in which both types of companies coexist and data for this type of research can be easily found. This type of research is especially helpful when contributors choose to either choose or subsidize a partner organization (e.g. a grant) or when clients are involved in selecting which agency has the best level of service. It would be useful to recognize the gaps in tactical and strategic choices and in the role of each type of entity in an effective border review if there were any variations between both types of organizations.

Through empirically evaluating the use of the process perspective and its basic process criteria for non-profit purposes, the OM group will make an important and significant contribution. The performance appraisal of specific NPOs and the detection of potential changes should be implemented in a general context. Further insights may also be given by grouping NPOs by industry.

Innovation in Running Non-profit Operations

The peculiar features of non-profit operations emphasize how they must be handled innovatively as they do not exist in the public or business sectors. Some of the most interesting elements are donations such as voluntary work management, children's gifts and charity auctions. A significant area of research in OM is also to study the use and influence of emerging online networks and emerging fundraising mechanisms on non-profit operations. Efficient processes are important as NPOs have very small, tightly distributed and incredibly unpredictable budgets. We related to a variety of funding methods in this article, including conventional finance schemes, bridge financing and PfR. We encourage OM students to undertake empirical and analytical work that investigates the effectiveness of the various funding mechanisms. Feedback loop finance and its effect on organizational decisions and results should be committed to special focus.

As discussed earlier, conventional NPOs' risk-averse activity is inhibiting creativity. While it is interesting and deserving more attention to the study of aversion of risk (both empirical and analytical), we suggest OM researchers analyse new business models suitable for non-profit ventures. Similarly, social enterprises are situated within the profit-oriented and non-profit sectors and follow strategies followed in the profit-oriented sector to fulfil a general goal that can be described as 'social good' (Dees et al. 2001). The attractiveness of goods and services and their innovative business models give social companies more momentum than traditional NPOs. We agree the conventional NPOs are likely to benefit from this company as they face common big obstacles in terms of funding, scalability and profitability.

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Figure 1. Major Actors of a Non-profit Supply Chain
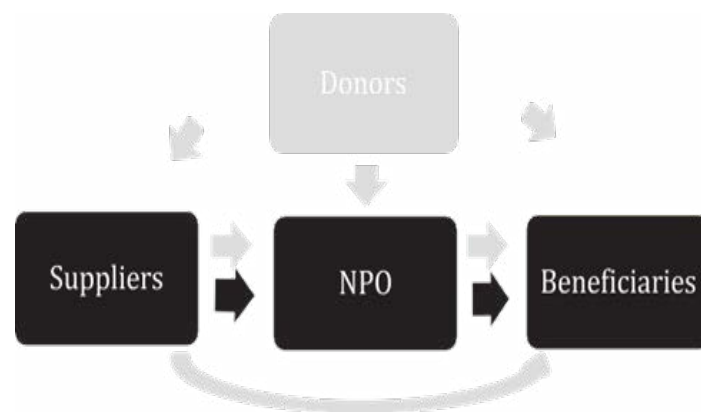
Table I: Paper Format and Structure

Purpose	Elements	Activities
Multicriteria tools used by FPOs	Non-Profit Operations	Fundraising
Multi-objective optimization	Suppliers	Cross-subsidization
Equity	Donors	Managing donations
Efficiency	Beneficiaries	Allocation policies
Effectiveness		Pricing
		Workforce management

Table II: Challenges, Techniques and Methods of Non-profit Operations

Challenges	Techniques and Methods
Best performance Metrix	Optimizing of Multi-objectives
	Combination between resources and performance
	Balanced scorecard approach
	Triple bottom line approach
Lack of cooperation among the different elements	Registered contracts
	IT investment for data sharing
	Operating by command
	Order service
Lack of coordination among various donors	Build a leading coordinator

	Donor details publishing
	Using global service corporations for profit
Problems in scalability and reliability	Ensure support for the development of scale economies
	Adoption of sustainable business approaches
Supply deficit	Efficient donation administration
	Inventory planning
Account deficit	Fundraising
	Using a standard system for donations
	Multi-financing
	Request for subsidies
	Usage of volunteer employees
	use methods for direct marketing
	Crowdfunding
Uncertainty in demand	Forecasting changes
	The application of adaptive pull mechanisms or supply chains
	Inventory planning
	Pooling of threats
	Using methods for modelling: stochastic dynamic programming, simulation and dynamic system instruments
Donations Earmarked	Increased responsiveness for the less popular services
	Enhance trust by enhanced openness (e.g. use of web platforms)
Uncertain donations	Ex ante strategies: projections, funding of bridges and conventional finance
	Ex post strategies: payment for results (PfR) financing
	Concentrate on ex ante mix and ex post support
Supply distribution is smaller than demand	Rationing with and without priority classes
	Using wait lists
	Using explicit queuing

	Usage of modelling tools: resource reductions, emergency care contracting and rates of operation
Pricing	Discrimination against costs
	Non-monetary expenses with labour or supplies
	Value-based pricing
	Pricing dynamic
	Transfer pricing for International supply chains
Management of volunteers	Using a standard system for volunteers
	Attribution of interesting tasks
Retention of workers	Recognize the contributions of workers
	Providing flexible working options
	Providing opportunities for career advancement
Lack of innovation	Adopt approaches for social and entrepreneurship business models

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4. Gender, Diversity and Indigeneity

Champions of Change: Why do some CEOs champion gender diversity?

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Gender equality in the Finance industry: The challenging 'last mile'

ABSTRACT:

Organisational efforts to increase gender equality in leadership have had limited success, and Australia's ranking in the global gender equality index has slipped since 2006. We call this challenging stage in gender equality efforts the 'last mile'. To understand what hinders or assists organisational efforts in the 'last mile' we conducted an in-depth study of the diversity efforts in a business unit of a large Australian bank. Interviews, focus groups and archival data analyses demonstrated that the bank's gender equality performance was better than their institutional field, and the workforce was more optimistic about gender equality outcomes than executives. Ironically, these illusions of progress hindered the bank's ability to travel the 'last mile'.

Keywords: Gender equality, diversity policies, people practices, leaders.

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There is continued pressure on organisations worldwide to address gender imbalances in senior roles (McKinsey & Co, 2020). For Australian companies, this pressure has intensified in the last decade. In 2010 the Australia Security Exchange (ASX) Corporate Governance Council introduced gender diversity reporting requirements for the top 200 publicly listed companies. Also in 2010 the emergence of the Male Champions of Change, an advocacy group for gender equality in leadership comprising high-profile leaders, increased the pressure on their peers to follow suit (Metz & Kulik, 2016). Media coverage of this Male Champions of Change group also raised social awareness and stakeholder expectations of women's representation in leadership. In 2014 the Australian government introduced the Workplace Gender Equality (minimum standards) Instrument, which requires employers with 500 or more employees to demonstrate a minimum commitment to gender equality in their workplaces as part of their reporting on gender equality indicators to the Workplace Gender Equality Agency [WGEA] (https://www.legislation.gov.au/Details/F2014L00365/Explanatory%20Statement/Text).

Despite these pressures, organisational efforts to increase gender equality in leadership have had limited success (McKinsey & Co, 2017). Women's representation on ASX 200 boards has increased (33.6% in 2021, up from 8.3% in 2009; AICD, 2021). But Australia's ranking in the global gender equality index has been slipping (50th place among 156 countries, down from its original 15th place in 2006) despite ranking first in educational attainment equity for women (WEF, 2021). In 2019-2020, only 18.3% of CEOs and 32.5% of key management positions were held by women (mostly in support roles like HR), and the overall proportion of female managers was 39.9% (WGEA, 2020b). These statistics show that progress toward gender equality has been slow. In addition, progress can backslide in tough business environments such as the COVID-19 pandemic (Deloitte, 2021).

This situation suggests a very challenging stage in gender equality efforts. We call this stage the 'last mile' because it involves the last step in a chain of efforts to increase women's representation in leadership. Given the potential of gender equality to lead to positive economic outcomes for organisations (McKinsey & Co, 2020), it is important to understand what hinders or assists organisational efforts in the 'last mile'. We contribute to that understanding with an in-depth study of the diversity efforts in one large Australian organisation.

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LITERATURE REVIEW

Diversity policies and practices have improved modestly in Australian organisations (e.g., Fenwick, Costa, Sohal & D'Netto, 2011; WGEA, 2020a). An Australian study of 650 Human Resource managers and other leaders found that, in general, workforce diversity management is neither well understood nor prioritised (Davis, Frolova, & Callahan, 2016). Yet, successful gender diversity (GD) change likely entails concerted commitment to gender equality policies and practices for the sustained delivery of gender equality goals. Such commitment requires widespread understanding of the organisation's reasons behind gender equality and people capability to enact change. Collectively, these factors comprise an important but especially challenging stage in the successful delivery of gender equality goals, analogous to the difficulties of the delivery stage or 'last mile' in a supply chain (Aized & Srai, 2014).

Organisations do not adopt uniform strategies to increase and manage women's representation. The tactics an organisation chooses derive from the organisation's fundamental 'diversity paradigm': the normative beliefs and expectations about employee diversity and its role in the organisation (Dass & Parker, 1999; Thomas & Ely, 1996; Kulik & Roberson, 2008). The literature has identified four distinct paradigms based on how actively an organisation embraces diversity (Dass & Parker, 1999; Thomas & Ely, 1996). Specifically, the *Resistance* paradigm encompasses organisations that concentrate on enhancing organisational effectiveness and productivity by maintaining the demographic homogeneity of its workforce and the status quo. Organisation members may actively discourage diversity or ignore diversity issues. The *Discrimination-and-Fairness* paradigm focuses an organisation's attention on providing equal opportunities in hiring and promotion, suppressing prejudicial attitudes, and eliminating discrimination in its practices. An *Access-and-Legitimacy* paradigm encourages an organisation to develop a workforce that reflects the diversity within the labour force and the organisation's customer base (e.g., hiring more women to attract and serve female customers). Finally, an organisation adopting an *Integration-and-Learning* paradigm uses the entire range of insights, skills, and experiences of a diverse workforce to rethink its primary tasks and redefine its business practices in ways that will advance its mission. These diversity paradigms can similarly describe organisations' efforts to manage gender diversity.

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In the case of gender diversity, some organisations successfully navigate the change process by progressively *shifting* toward more proactive paradigms; others are likely to experience *sticking points* that hinder their gender diversity efforts. For example, factors external to the organisation, such as legislation and reporting agencies' requirements, have motivated Australian organisations to develop better gender diversity strategies, policies and practices. However, this progressive shift toward a more proactive paradigm has been 'modest and uneven' (Fenwick et al., 2011; WGEA, 2020a: 6). Practices such as diversity training can backfire because they send signals that are interpreted in unintended ways (Leslie, 2019). Men can feel threatened (Dover, Major, & Kaiser, 2016) and decision-makers can become complacent about their biases in the presence of GD policies and practices (Castilla, 2016; Castilla & Benard, 2010). Thus, external factors can initiate gender equality change efforts, but for change to be sustainable that efforts must align with the organisation's diversity paradigm and be embedded within the organisation.

We know that senior management involvement is a necessary but insufficient factor to successful change in general (Kotter, 2007) and to diversity change in particular (Gilbert & Ivancevich, 2000). CEOs, for example, can launch diversity initiatives and ensure that resources are available to support them (Metz & Kulik, 2008; Ng, 2008). But while senior managers can provide top level commitment to diversity management policies, mid-level managers implement policy on a day-to-day basis (Kirton & Greene, 2009). Therefore, mid-level managers need to understand the reasons behind the gender equality policies and practices to be able to enact them and inspire their staff to do the same. Further, successful change requires the endorsement of most of the workforce (Kotter, 2007). Similarly, women's increased representation in leadership likely benefits from everyone's commitment to gender equality efforts in their workplace (Metz, 2020).

Thus, we focus in this study on understanding the internal factors that allow or hinder an organisation's shift towards a more progressive gender diversity paradigm. This understanding is important to stem the under-utilization of a highly educated female population and Australia's continued declined in global gender equality ranking (WEF, 2021).

METHODS

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We used a case study method to investigate the factors that might assist or disrupt gender equality change efforts in an organisation. A case study methodology may be best suited to understand how an organisation's values affect and sustain organisational development and performance (Yin, 2009). We collected interview, focus group, and archival data. Triangulation across data sources provides multiple perspectives, supplies more information on emerging concepts, and yields stronger substantiation of constructs (Eisenhardt, 1989).

Our case is a substantial business unit in one large Australian bank. To ensure confidentiality, we refer to our study site as Finance. This is an appropriate site to conduct our study for two reasons. First, Finance is one of the top 200 publicly listed companies in the ASX. As such, the company is required to comply with both the ASX Corporate Governance Council's gender diversity reporting requirements and WGEA's minimum standards. Second, the Finance and Insurance Services sector has shown modest gains in women's representation in top roles (McKinsey & Co, 2017). These modest gains suggest that these external factors incentivised finance and insurance organisations to initiate gender equality change but are failing to embed those change efforts in this sector.

Sample and Data Collection

Finance provides a suite of products and services for its clients, has a workforce of more than 6000 and a presence in more than a dozen Asia-Pacific markets. The Chief Executive requested we conducted this study expressing concern with the relatively low numbers of women in leadership and management roles in Finance, despite considerable effort to improve their representation. This effort had been ongoing for at least five years.

We interviewed nine members of Finance's top management group: the Chief Executive and his direct reports, which included the HR executive. The average interviewee's company tenure was 15 years, ranging from 9 to 22 years; three interviewees were female and six were male. We call this group 'Executive' hereafter.

We also conducted focus groups (FG) of senior- and mid-level managers and a few non-managerial employees. A focus group methodology is particularly appropriate where members of different demographic groups are likely to disagree on the effectiveness of an organisation's diversity management strategies (Kossek & Zonia, 1993). Specifically, we conducted eight gender-mixed and

one women-only focus groups. The average company tenure of the FG participants was seven years, ranging from 1.5 to over 20 years. Focus groups' participants were 73% female and 27% male. We call this group 'Non-Executive' hereafter.

Finally, we obtained clarification on some of the information provided by the study's participants (e.g., policies, initiatives, and staff demographics) from our organisation contacts. The archival data assisted with documenting and verifying Finance's representation of women over time (Yin, 2009). Based on archival data, we established that about 43% of Finance's management were women, but this percentage was greater at low than high levels of management. Women in leadership positions had remained at around 16% for the previous four years. Thus, the Chief Executive specifically asked us to investigate why the pace of change had been slow.

We drew inspiration from Lester, Kickul and Bergmann (2007)[1] in developing four short narratives that captured the essential elements of diversity paradigms described by Thomas and Ely (1996) and Dass and Parker (1999). We described the four paradigms within brief narratives (see Figure 1). We opened all the interviews and focus groups by asking each participant to individually identify the paradigm they felt most closely represented Finance's approach to diversity management.

Insert Figure 1 about here

The interview and focus group protocols comprised semi-structured questions. Specifically, we asked participants to describe the history of the organisation's approach to diversity management, including any challenges or opportunities. The paradigm narratives and protocol questions mentioned 'diversity' rather than 'gender diversity' to avoid priming the participants.

The interviews lasted one hour on average and the focus groups 1.5 hours. All sessions were digitally recorded with the participants' permission and later transcribed. The transcripts were analysed using an inductive, interpretative approach (Langley 1999). The data analysis comprised a two-step process. In the first step, we analysed the individual responses and generated first-order categories using the comparative method of analysis (Creswell & Creswell, 2017). In the second step,

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[1] Lester et al. (2007) developed short narratives of four different types of psychological contracts to describe the relationship between each employee and their employer (i.e., transitional, transactional, balanced, relational).

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we clustered the individual codes by Executive and Non-Executive to look for cross-group patterns; this led to second-order themes. Figure 2 shows our coding process and data structure. We present 'power' quotes in-text to illustrate the findings (Pratt, 2009: 860). We assigned 'FG#' or 'IN#' to each focus group and interviewee respectively, and a number for each participant. We also attach the participant's gender to each quote.

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Insert Figure 2 about here

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FINDINGS

Diversity Management Paradigms at Finance

Some participants found it challenging to pick one paradigm that best described their organisation's current approach to diversity. In such cases, participants wrote a number on the paradigm sheet, say 2.5, to indicate that Finance was operating between the second and third paradigms. We recorded all integers and all rounded-down fractions (corresponding to the less active paradigm) in Table 1. We call this tally a 'Conservative' summary of all participant responses to the paradigm exercise.

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Insert Table 1 about here

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Based on Table 1, we make three observations. First, in Table 1 no Executive and only two Non-Executive participants positioned Finance in the least active *Resistance* paradigm. Further, 77.8% (seven interviewees) of the Executives identified *Discrimination-and-Fairness* as Finance's paradigm, although four Executives indicated that Finance had started its journey towards *Access-and-Legitimacy*. The Conservative summary suggests that Executives understand that more needs to be done.

> *... the stat that I really wanted to move* [women's representation] *... to send a positive message back to them to say "Yes we can do this." I didn't get it. Anyway, we'll keep going.* (IN#2, M)

Second, Non-Executives (particularly male ones) were more optimistic about Finance's approach to diversity management than Executives. Table 1 shows that the Non-Executives were almost evenly split between the *Discrimination-and-Fairness* (48.8% or 42 FG participants) and *Access-and-Legitimacy* (51.2% or 44 FG participants) paradigms. However, male Non-Executives were more likely to identify a more

active paradigm and to think that the organisation had progressed than their female colleagues.

> *I've been with* [area A] *for just over eleven years, and there's obviously been a lot of change in that time* (FG#5; M)
>
> *I've been with* [area A] *for about four years ... in the leadership positions that we're exposed to, there is a higher level of males in those leadership roles opposed to females* (FG#5; F)

Thus, there seems to be greater alignment between Executives' and female Non-Executives' views of Finance's diversity management efforts than between Executives and male Non-Executives. While male Non-Executives' views were based on observations, female Non-Executives' views were often also based on their lived experiences. For example, women mentioned experiencing pushback and resistance from male colleagues about gender equality policies and practices.

> *Someone in HR will want to meet with the females... when we sit back down, the older men will say "oh, when is the meeting for men in finance"... it's a joke, but there's obviously ... a bit of pushback* (FG#2; F)
>
> *There are comments and things that just shouldn't be tolerated.... I've heard, "oh maybe the business would be better if they* [women] *didn't work flexibly"* (FG#4; F)

Third, Table 1 shows greater heterogeneity of perceptions at the Non-Executive than at the Executive level regarding Finance's approach to diversity management. This heterogeneity suggests varied understanding and implementation of gender equality policies and practices across the organisation.

> *... the policies are the same across* [Finance] *but the way that they've been implemented or the psyche and the underlying culture ... been quite tribal and ... driven by the leader ... and the leadership team at that particular business. So, it varies.* (IN#5, F)

The Chief Executive's understanding aligned with women's views: *We are stuck...in 2017...what has changed?* To verify his statement, we asked study participants to tell us the history of the organisation's approach to diversity management, including any facilitators of or obstacles to diversity change.

The History of Diversity Management at Finance

The participants mentioned both facilitators of and obstacles to diversity change at Finance, but the latter surpassed the former almost threefold. Further, the facilitators were mostly efforts at the organisation level; the obstacles were factors at both the interpersonal and organisational levels that obstruct the delivery of diversity goals during the 'last mile' of diversity change efforts. For example, participants regularly mentioned the portfolio of policies and initiatives adopted or made more visible in the last five or so years as

a key facilitator. Most obvious were policies around recruitment and flexibility.

> *… what's changed is that policies have been put in place…at a group level…they probably were in place about five years ago…we started doing things such as all roles flex², opening up maternity leave to be parental leave…the 50% females on a short list, females as part of an interview panel … (IN#9; F)*

However, a gap seemed to exist at Finance between policy and practice. Executives and Non-Executives largely agreed that this was due to interpersonal factors such as 'biases', 'lack of follow through' and male backlash; organisational factors such as communication; or a mix of both. For example, biases comprised potentially unconscious and conscious biases such as sexism and traditional mentality.

> *when I first met with* [male manager]*, …He couldn't figure me out… "who earns more money in your relationship… who has the balance of power in your relationship"… I remember just not knowing how to answer …and …quickly thinking "what is he really trying to get at?"… I don't want him thinking that I have another income via my husband, because then my bonus will be impacted…this is modern day, and this was just four years ago … (IN#9; F)*

Lack of follow through encompassed both interpersonal and organisational factors. Participants spoke of diversity efforts not being part of systems and processes, and decision makers' passive resistance to change by, for example, feigning compliance with gender equality policies. Both male and female Executives were aware of this resistance to change.

> *… when you look across the …whole business, have we really changed the practices? … for example, flexibility, … people are more accepting of that and we're trying to make sure there's a female on every short list and there's a female interviewer …but when it goes beyond that, I'm not sure that we've really made the same level of progress as what we should have made …there's still quite a bit of attitude …from "okay, get a female to be on the interview panel", … tick the box and "we've got* [NAME]*; well, she's on the short list, she's not going to make it, I know that" … (IN#4; M)*

However, among the FG participants, 85% of the resistance to change and 100% of male backlash stories were provided by female Non-Executives.

> *… in the kitchen there was a lot of discussion and there was a lot of negativity around it* [superannuation for women] *… we hear a lot of that negativity … any time there's a female appointed into a senior role. If there are men who don't make the short list, there is a lot of moaning about if they were female, they would have been short listed. (FG#4; F)*

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² 'All Roles Flex' is an initiative introduced by Telstra in 2013 which declared all roles in the organisation could be done flexibly thus placing the onus on the managers to explain why a role could not be performed so.

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Another example of an organisational facilitator of change was the extensive communication on 'what' Finance sought to achieve. On the flipside, an often-mentioned obstacle to change was the lack of detail in the communication on 'why' the organisation wanted more diversity at all levels, and 'how' to achieve that in a challenging business environment.

> *... one thing that would suggest ... we're not quite in the paradigm 3* [Access-and-Legitimacy] *... is just, through the broader business, people really understanding what the value of diversity is rather than being maybe some 'headline' kind of symbolic ...* (IN#6; M)

The challenging business environment was an organisational obstacle to change that encouraged people to focus on short- over long-term business imperatives. Managers were under pressure to cut costs, grow business and profit, and reduce staff numbers. The participants explained that managers thus avoided making 'risky' selection and promotion decisions.

> *... the environment we're in ... isn't giving people an opportunity to take chances on anyone ... you're kind of pushed to get someone who is very qualified for the job already rather than having ... diversity of opinion or diversity of way of working, which might benefit* [the team] *in the long-term ...* (FG#7; F)

> *... if I have five roles that are vacant and I can only fill three I am probably more likely to appoint someone I think is 100% ready for the role as opposed to appointing someone who is 80% there, because I can't really afford to have them coming up the curve ...* (FG#3, F)

The language used implied women were 'riskier' selections than men, a bias that few seemed aware of.

> *... we judge* [women's] *performance ... and their behaviours more harshly ... the environment has a level of toxicity in it for them ...* (IN#2; M)

In addition, these quotes suggest that in downward economic cycles decision makers at Finance do not perceive diversity to be a business priority. As one participant put it:

> *We're going to go from* [x] *staff down to whatever,* [y] *staff and it's going to massively impact roles ... the diversity issue is not a massive issue* (FG#4; M).

This short-term focus was driven by Finance's masculine culture (e.g., competitive) and bottom-line performance measures (e.g., return on investment), which were seen as barriers to achieving gender equality.

> *It's a very dog eat dog culture ... there is a lot of competition and silos... conversations that then create that culture...it trickles down...* (IN#9; F)

> *... communication is based on how to drive the business, how do we improve the return, how do we have more productivity for the business. ... I do not see much focusing on the diversity...* (FG#2; F)

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Notably as many (or more) men as women described the culture in positive terms (e.g., Team focussed; Values and people driven), despite men being in the minority in all but two focus groups.

DISCUSSION

We aimed in this study to understand the internal factors that advance or disrupt organisational efforts to move from a less to a more proactive gender diversity approach to increase women's representation in leadership. To achieve this aim we conducted an in-depth study of diversity efforts in a large business unit of one of Australia's four major banks. Based on Table 1, Finance was still at the early stage of maintaining fair practice and eliminating discrimination. Its investment in managing diversity centred on changing recruiting and selection practices to increase the gender diversity of its workforce and on normalising work flexibility. Yet, these efforts and high workforce awareness of 'gender' as a focus of Finance's diversity approach failed to change women's representation in leadership. Other diversity dimensions, such as age, disability and race, were infrequently or never cited by the participants. Altogether, few participants felt Finance was shifting its approach to a more proactive paradigm. This is consistent with previous research evidence. In their study of organisations in the U.S., Thomas and Ely (1996) found that only a small number of organisations were in the most proactive Learning-and-Effectiveness paradigm. Generally, of concern is the fact that participants identified almost *three times* as many obstacles as facilitators to gender diversity change in Finance. This imbalance likely explains the slow progress made in achieving gender equality in leadership over the last five years; it also will continue to thwart diversity change efforts unless addressed.

Specifically, while Finance has had some very good gender diversity policies 'on paper' for a few years (e.g., to have at least one woman on a selection panel), employees experienced considerable variation in how these policies were implemented by their managers. Finance's strong gender diversity policies might have created conditions in which some managers were not motivated to actively monitor their own behaviour, trusting that the system would 'catch' any errors (Castilla & Benard, 2010).

Some men (and a few women) may have felt ambivalent about or threatened by the top-down directives to change practices (Dover et al., 2016; Kotter, 1996). Finance was viewed by staff as

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having an outcome-oriented competitive culture that encouraged a focus on short-term results over long-term business goals. Commitment to diversity is a medium- to long-term endeavour (Slater, Weigand, & Zwirlein, 2008). Thus, Finance's short-term focus and competitive culture diverted many individuals' attention from the implementation of gender equality policies across the organisation. In addition, managers knew of Finance's most proactive and strategic diversity initiatives (e.g., 'all roles flex'), but they were less informed about how to implement them. Further, the challenging economic environment and organisational culture allowed many decision-makers to circumvent Finance's gender equality policies. Biases and traditional mentality continued to infuse recruitment and selection practices and protect the status quo (Metz, 2011).

Implications for Practice

Generally, our study offers a user-friendly measure of diversity paradigms that organisational decision-makers can use as an auditing tool to assess their current approach to managing diversity. Our narratives can also be used to initiate ground-level conversations about GE and to identify workforce 'faultlines' in paradigm endorsement, thus starting the process towards paradigm change.

Specifically, the interview and focus group data identified several opportunities for Finance to strengthen its gender diversity messaging. Finance was embarking on a cost-cutting and redesign initiative, and the information gathering planned in this process could provide a starting point to collect and interpret gender diversity data and open the door to more candid discussions about gender equality issues. Finance could narrow the policy-practice gap by explicitly making managers accountable for their teams' gender diversity, and by demonstrating a willingness to reward managers who do, and sanction those who do not, behave in alignment with Finance's gender equality goals.

In addition, the obstacles to change highlight the importance of communicating a consistent message to employees that explains the 'what', 'why' and 'how' of its gender equality change efforts. Moving from the broad to the detailed in communicating and educating the workforce on the organisation's gender equality aims, plans and progress is key to getting employees to embrace change and work together towards delivering on those goals (Slater et al., 2008). Associated with education on 'why' and 'how' is the need to measure progress, communicate benefits gained and reward performance on achieving gender equality change (Kotter, 1996), none of which occurred at

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Finance. As one participant advocated *To keep the ball rolling, it [gender diversity change] has to be everybody's job ... Accountability; matrix-based definition of success; measurement and report* (FG#9; F).

Finance could also make performance on gender equality goals a criterion for promotion, screen applicants for gender equality values, and train line managers on how to effectively implement gender diversity policies. Most importantly, Finance has an opportunity to shift to a more proactive gender diversity management paradigm by leveraging its people-oriented cultural characteristics to nurture a workplace in which women feel welcomed and valued. Non-executive women had particularly negative views of the culture, characterising it as competitive and siloed. This suggests a need to pay particular attention to how gender influences workplace experiences (Carberry & Meyers, 2017) and identifies managers as critical links in delivering on Finance's gender equality efforts.

CONCLUSION

Progress at Finance is hindered by a few ironies. First, Finance shows us how 'traditional' obstacles (e.g., biases and male backlash) are made intractable by the organisational context (e.g., localised pressures to show short term performance and culture). Second, the workforce sees more progress than executives, so there is not going to be a big groundswell from below. Third, even though executives recognise the lack of progress (and are enlightened enough to investigate it) they still look fine in their institutional field.

Thus, this case study shows how a lack of genuine commitment to increasing gender equality by many employees undermines organisation efforts and maintains the status quo. This inertia occurs despite the presence of factors necessary for successful change, such as leadership advocacy, solid diversity policies and practices, and widespread awareness of the organisation's focus on women. Thus, a gap exists between knowing and doing at all organisation levels that explains the missed delivery of concrete and sustainable increases in women's representation across areas. Organisations such as Finance need to continuously communicate their gender diversity vision, provide training in all aspects of gender diversity management, and establish gender diversity accountability and monitoring. Without accountability and monitoring, it will be challenging for organisations to assess the enactment of espoused gender diversity values and the consistent implementation of policies across all areas, regularly review plans against progress, and successfully travel the last mile of gender diversity change.

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Figure 1: Diversity Management Paradigms

Resistance In my organisation, diversity is not a major agenda item. Employees work in relatively homogeneous workgroups, units, or departments. There is no compelling business reason for us to proactively recruit a more diverse workforce. Given the nature of our work, an increase in employee diversity is unlikely to have a major impact on performance indicators (e.g., profitability, cost reduction, or employee job satisfaction). So far, we haven't had any major diversity concerns raised by either job applicants or employees. Therefore, we are primarily focusing on other key issues for our business.	**1**
Discrimination-and-Fairness In my organisation, we have a commitment to maintaining fair practice and eliminating discrimination. We've made sure that our policies and practices will not interfere with the hiring and promotion of employees from EO groups. We do our best to create a level playing field where employees can perform to the best of their abilities, and be appropriately rewarded for that performance. As a result, the representation of Equal Opportunity groups in my organisation has increased over time. But we have not made any major changes to our day-to-day work practices as a result of greater diversity within our workforce. Our philosophy is that "people are just people" and our employment practices can be applied effectively across the board.	**2**
Access-and-Legitimacy In my organisation, we have made a concentrated effort to reach out to EO groups in our broader community. We've paid particular attention to changing our recruiting and selection practices so that the demographic composition of our workforce is a more accurate reflection of the demographic composition of our customers or clients. We believe that our efforts to recruit and retain a diverse workforce provide us with a better understanding of our customers' or clients' needs, and that gives us a competitive advantage.	**3**
Integration-and-Learning In my organisation, we have actively tried to build on the various skills, experiences, and ways of thinking of a diverse workforce. We've used employee diversity as a resource for learning and adaptive change -- as our workforce has become more diverse, we have dramatically changed our day-to-day work practices. We've rethought primary tasks, redefined markets, and overhauled our organisational culture. The demographic diversity of our workforce has been a major source of growth and learning for my organisation.	**4**

Note: The paradigm labels are included in the Figure for the reader's benefit. Research participants did not see these labels, only the narrative paragraphs.

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Table 1 – Conservative summary of perceptions of Finance's current approach to diversity

Diversity Management NOW				
	Resistance	Discrimination-and-Fairness	Access-and-Legitimacy	Integration-and-Learning
Executives n = 9	0%	77.8%[1]	22.2%	0%
Non-Executives - Female n = 62[2]	3.1%[3]	56.5%[4]	37.1%	3.2%
Non-Executives - Male n = 24	0%	20.8%	70.8%[5]	8.3%
Total = 95	2.1%	49.5%	44.2%	4.2%

Note. Not all rows add to 100% because of the rounding of decimal places.

[1] Three male and one female executives reported that Finance was between the 2nd and 3rd Paradigms

[2] There were 64 female participants but 2 did not complete their paradigm sheet

[3] One female participant reported that Finance was between the 1st and 2nd Paradigms

[4] Three female participants reported that Finance was between the 2nd and 3rd Paradigms

[5] One male participant reported that Finance was between the 3rd and 4th Paradigms

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Figure 2: Data Structure

Examples of 1st Order	2nd Order Themes	Aggregate Dimensions

"the move to flexible working practices. Two people in my team, one is a male, one is a female they're both working, compressed working hours now. … That wouldn't have happened 2 years ago, let alone 5 years ago" (FG#4; M)

Organisational (e.g., initiatives / policies)

"The campaigns have been very well communicated, and [CEO] has also used a lot of different methods …" (FG#5; M)

Organisational (e.g., communications of 'what' campaigns & initiatives)

"[what] they've done pretty well in the last 5 years is actually put an executive to each type of diversity or kind of put a champion ..." (FG#1; F)

Organisational (e.g., executive accountability)

Facilitators

"… talk about and challenge some of the myths 'oh well there's 50% of grads come in are women, 50% of men but by the time they're 30 we've only got males to choose from. Oh that's because women go off and have babies and don't come back to work'; that's a myth right, but that still is current thinking." (IN#2; M)

"Tick a box exercise-… And in some cases it's not even we believe it's the right thing to do, but I have to do it … And a bit of underlying resentment." (FG#7, F)

Interpersonal (e.g., biases; male backlash)

"it's not like there's no talent out there, … The reason we can't find it is because we're not thinking laterally enough about it and really understanding what we're doing. …I actually think it's our own internal mindset" (IN#4; M)

"… at a divisional level we need … have it front and centre around … why diversity and how" (IN#6; M)

Mixture of Interpersonal & Organisational (e.g., lack of follow through)

"the environment at the moment… is extraordinarily difficult. So, whether or not the intent is there to manage diversity… senior management, management at our level is focussed on the cost cutting … the opportunities aren't there … so no one can take the risks unless you leave the industry" (FG#7; F)

Organisational (e.g., communication on 'why' and 'how'; business environment)

Obstacles

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Exploring Agile Project Governance

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ABSTRACT:

Project governance processes in an organisation aim to control, direct and steer projects toward their agreed objectives. Recently, Agile Principles that promote self-organisation, iterative, value-driven delivery have emerged as a challenge to the traditional view of governance.

The paper explores the influence of Agile Principles on traditional governance and presents preliminary results of a synthesis of project governance research literature. Viewing governance as a continuum spanning an organisation's hierarchy, we identify core themes and extract seven conceptual dimensions that differentiate Traditional and Agile governance.

This study contributes to knowledge by offering a synthesis of recent project governance research that identifies the dimensions in which Agile Principles impact traditional governance thinking. The preliminary results have implications for Agile governance theory building and point to the challenge of scaling Agile across an organisation.

Keywords: Governance, Management, Project, Agility, Agile

INTRODUCTION

The research community has shown a growing interest in project governance that is critical to ensuring delivery effectiveness in project-based organisations (Ahola et al., 2014; Müller & Lecoeuvre, 2014). The literature views project governance as the system through which an organisation controls, directs, and steers the project toward achieving its strategic objectives (McGrath & Whitty, 2015). Williams & Samset (2012) explore why organisations adopt good governance practices, and the reasons include the need to ensure stakeholder confidence, providing a stable foundation for a high-performing organisation; and ensuring an organisation can respond to a changing external environment.

Until recent times, project governance research has predominately focused on projects established using traditional project delivery approaches and project-based organisations that primarily depend on conventional planning and controls (Sanderson, 2012; Turner, 2006). This traditional view of project governance is predicated on the existence of an entity (the supplier) who provides funds and the resources required to deliver a project. This perspective necessitates a business case and solution specifications to be developed during the initiation phase with the project then monitored and controlled during execution - with quality assurance processes ensuring compliance to the specifications and realisation of the anticipated return of investment (Ahola et al., 2014; Pemsel et al., 2014; Samset & Volden, 2016).

This traditional perspective of project governance has come under challenge from Agile Principles

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(Beck et al., 2001) that require autonomous, self-organising teams to use an iterative project life cycle to potentially discover and deliver new and unspecified solutions. Instead of formalised planning and control approaches, Agile Principles aim to embrace change and uncertainty by emphasising informal collaboration and relying on rapid iterative development cycles to deliver a project's goals (Dybå & Dingsøyr, 2008).

Today, Agile is ubiquitous (and the noun worthy of capitalisation), with its popularity arguably a buzzword (Pfeffer & Berchez, 2017) that captures the "Agile Mindset" that practitioners have attempted to apply across an organisation. Overby et al. (2006) predicted enterprise agility with the scaling of Agile Principles and the utilisation of Information Systems that can support practices and methods that facilitate faster customer responses.

While Agile methods emerged in software development, various other industries have shown heightened awareness and interest in implementing Agile projects in their domain. A global survey conducted by Conforto et al. (2016) demonstrates software industry practitioners reported adopting Agile Practices in different industrial and organisational settings that point to the growing need to recognise the influence and impact of Agile on traditional governance.

Insert Figure 1 - Organisational Adoption of Agile Principles in the Governance (about here).

Figure. 1 illustrates the potential for Agile to impact different levels of traditional governance in an organisational. From its beginnings in small software development teams, Agile Practices are now accepted more generally in Project Management (PM) as a legitimate execution approach for projects with ambiguous and changing objectives. The relevance of Agile today is evidenced by the widespread adoption of Scrum, one of the most popular Agile methods, beyond its origins in software development (Rigby et al., 2016). With the PMBOK's (PMI, 2017) embrace of Agility in its sixth and seventh editions, it is clear that Agile Principles and associated methods and techniques are being integrated into the Project Management layer. The research literature is only beginning to discuss Agile at a higher level of Project Governance (Lappi et al., 2018; A. J. H. de O. Luna et al., 2020), and while the concepts remain formative (represented by a dotted), they are assumed to be feasible and scalable with the aspirational goal of implementing Agile Governance across the entire organisation.

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There remain, however, recognised challenges to adopting Agile principles at the upper levels. Daniel et al. (2014) and Hansen & Svejvig (2018) describe how projects in traditional environments are governed in a centralised, top-down and plan-driven approach, which directly conflicts with Agile Practices. From the outset, traditional views of governance enshrined in "management attitudes" have presented a barrier to adopting Agile Practices (Boehm & Turner, 2005). Agile's exploratory approach to project execution relies on trust and clashes with traditional governance practices, resulting in tension between the "bureaucratic project arena" and the Agile approach (Berger, 2007).

In this paper, we will confine ourselves to reviewing the research on Agile Project Governance, which remains a work in progress. In attempting a deeper understanding of the core themes in this emerging field, we aim to differentiate between Traditional and Agile Project Governance, recognising that their origins and principles and values differ fundamentally. We are dealing here with some fundamental assumptions in governance where traditionally applies a cautious and controlling, top-down perspective while Agile is founded in software medium's inherent flexibility and favours innovation and discovery. The viability of applying Agile Principles to governance higher up the organisation hierarchy is an alluring but unproven proposition. One of the first questions that have to be addressed is whether the two words can be legitimately used together or whether Agile Governance is not, in actuality, an oxymoron.

LITERATURE REVIEW

Governance defines how organisations are directed and who is held accountable for conduct and performance. Governance differs from management in that management runs the business, while governance ensures it runs efficiently and heads in the right direction (Tricker, 2012). The governance of projects, or Project Governance (PG), is a subset of the broader corporate or organisational governance (Müller et al., 2015).

Project Governance (PG) is essential because projects can represent a significant proportion of an organisation's annual budget, present risks to the organisation (Arena et al., 2010) and strategically position the organisation's future success.

To extend the relevance and applicability of the discussion, the Viable System Model (Cardoso Castro, 2019) views governance as a generic, recursive process that may be applied on a continuum that spans

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an organisational hierarchy. Müller et al. (2020) apply this in the project context with governance spanning the project organisation and encompassing project management, with project governance at the next level and organisational governance at the apex. Table 1 provides a comparison of traditional governance and Agile Governance perspectives adapted from (Beck et al., 2001; Kujala et al., 2016; A. J. de O. Luna et al., 2015; Saghazadeh, 2020).

Insert Table 1 - Traditional Management versus Agile Mindset (about here).

Traditional Project Governance

Early literature on project governance followed the traditional view of corporate governance as a top-down controlling activity (Lappi et al., 2018). Project Governance and Project Management similarly hold common philosophies and follow hierarchical organisational structures with power and control principally regulated by the top echelons (Ferguson et al., 2019). The traditional view of governance is characterised by highly structured communication flows with formal documents and reports created at the lower level and submitted for the review and approval of the higher level (Dingsøyr et al., 2018). The effort necessary to develop such documentation and protracted review-approval cycles can lead to overly bureaucratic processes that delay decision-making that negatively impact the organisation's ability to respond to a changing competitive landscape (Withers et al., 2018).

Agile Project Governance

The emergence of Agile Methods and the values and principles enshrined in the Agile Manifesto (Beck et al., 2001) viewed as a response to traditional governance with the documentation required by formal review and approvals being incompatible with the flexibility and pace of the software development (Raza & Waheed, 2018). Agile methods initially focussed on software (product) development (Beck et al., 2001). As things evolved, Agile thinking also became a necessary part of software-intensive Information Systems and Information Technology (IS/IT) projects. The popularity and widespread implementation of Agile principles (Denning, 2015) at the project level, however Agile Project Management (APM), which is broadly accepted as standard practice, is incompatible with traditional governance (Berger, 2007), which can present a barrier to the broader adoption of Agile principles

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within and across an organisation (Fuchs & Hess, 2018). The current play presents leaders with a "culture clash" (Curtis, 2019) within their organisations; where they might desire the speed and responsiveness to change promised by Agile, traditional governance and oversight remain a crucial responsibility.

Accordingly, this research aims to study recent project governance literature to identify both traditional and Agile practices and make explicit the areas of similarity and divergence.

RESEARCH METHOD

This study presents the early stages of a more comprehensive research agenda that seeks to construct a complete governance theory to accommodate traditional and Agile practices in projects and organisations. The first step presented here reviews the emerging Agile Project Governance research to identify the core themes in the literature and attempts a synthesis to extract the underlying conceptual dimensions that separate Traditional and Agile Governance.

The researchers take a critical realist stance where the diverse nature of early Agile Project Governance research represents different and likely incomplete perspectives on applying Agile principles and practices at higher levels in the organisational hierarchy. We undertook a research synthesis to integrate earlier papers to understand the different languages and categorisations to create generalisations (Cooper et al., 2009). This theory-building approach goes beyond simply reviewing the literature review and requires the iterative and reflective application of the four stated steps that define research synthesis: sampling studies, developing a coding scheme, integrating the studies, and writing the report (Feldman, 1971).

The first step was to sample the project governance literature covering recent Traditional and Agile Governance publications. This search commenced by probing for the terms "project governance" OR "governance of project" OR "Agile project governance" OR published in three project research journals, which were International Journal of Project Management (fifty-two records), Project Management Journal (seventeen records), and International Journal of Managing Projects in Business (sixteen documents). The eighty-seven papers found were filtered based on publication dates between 2015 to 2021, coverage of both Traditional and Agile Governance, representation from various industries, and in the top twenty-five citation rankings. This filtering process narrowed down the selection to thirty papers

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that are candidates for the research synthesis.

The coding scheme that is the anticipated outcome of a research synthesis represents the distillation of the field of study and is integral to theory development, contributing to exploratory, explanatory, and predictive knowledge (Lynham, 2000). In Project Governance, the codes can help identify the influence and impact of Agile principles and differentiate it from more traditional forms of governance.

RESEARCH SYNTHESIS

Of the thirty candidate papers identified for the research synthesis, the eight papers identified in Table 3 were selected independently by both authors in a standardised manner (Moher et al., 2009). This process reduced the number of relevant articles to four from IJPM, two from PMJ, one review article and one conference paper, for a total of eight papers for the first tranche of our synthesis, the results presented in this section.

While the sample was small, it included contributions, presented findings and patterns for meta-analyses of the literature, and provided a reasonable representation of the current thinking in Project Governance. The authors reviewed the papers in the sample; a coding scheme was developed iteratively to capture the different themes present in the sample. The limited number of research papers in this study only allows a qualitative synthesis of this sample which have nonetheless proven to be instructive and yielded the preliminary findings presented in this paper.

Table 3 also provides the core themes identified in each of the eight papers in our sample and the codes extracted as a result of multiple cycles of review and reflection. The final coding scheme was arrived at after several attempts, which suffered from the classic problems (Cooper et al., 2009) relating to research synthesis, including the issue of representation when the coding was too detailed along with the difficulty of representing the influence of Agility which appeared in some but not all code categories. The final coding scheme arrived at is based on pairs or couplets of codes that together we term "dimensions", with each element representing the poles of the dimension - representing the preference for Traditional or Agile Governance. With their pair of polar opposites (described below), the dimensions were found to be stable and able to be consistently applied to all papers in the sample – providing some confidence that they will remain appropriate as the sample expanded.

Insert Table 2 - Data Analysis and coding of Agile Governance Dimensions. (about here)

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The seven dimensions paired, diametrically opposite poles (representing the codes) resulting from the research synthesis process summarised below:

Strategic Contribution (SC)

The coding consistently identified strategy as a theme appearing in the project governance literature sampled. In contrast, the traditional view focussed on "Strategic Alignment" (coded as SC1) while Agile governance was differentiated by considering "Emergent Strategy" (SC2).

The dimension of strategic contribution is related to the origin of an organisation's strategy with the traditional, top-down strategic determination requiring the projects to align with a centrally determined organisational strategy (Hodgkins & Hohmann, 2007; Steindl, 2005). The agile perspective and its iterative exploration can be related to an emergent strategy that Agility can be seen to foster (Kaufmann et al., 2020).

Leadership & Culture (LC)

The influence of leadership styles and the organisational culture emerged as essential in determining the form of governance where the traditional view of "Autocratic" (LC 1) leadership that enforces process compliance and provide rigid governance structures (Müller et al., 2016) is in direct contrast with the "Autonomous" (LC 2) and self-organisation preferred by Agile. This dimension is crucial to developing and promoting organisational Agility (Sweetman & Conboy, 2018).

Solution Environment (SE)

We identified the "Solution Environment" (SE) and its stability and predictability as necessary for determining clear objectives and direction for projects. The traditional view of projects as plan-driven efforts to achieve predetermined goals, ideally aligned with strategy, under time and cost constraints is appropriate for a "Predictive" (SE 1) solution with governance taking the form of a series of consecutive or overlapping phases (Bergmann & Karwowski, 2019).

The polar opposite exemplified as a Volatile, Uncertain, Complex and Ambiguous (VUCA) environment (Mack & Jungen, 2016) that can benefit from Agile is more "Adaptive" (SE 2) approaches designed to respond to high levels of changes and to require a high degree of stakeholder engagement (Sweetman & Conboy, 2018).

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Management Level (ML)

We identified the sample included governance of singular projects and more recent studies investigating a portfolio of projects. We coded these as "Management Level" (ML) to capture those higher levels in the organisation gave rise to different views of what governance entailed.

The traditional view of governance as top-down oversight coded as taking a "Portfolio" (ML 1) view comprising portfolios or programs with steering committees and the Project Management Office (PMO) external to the project (Müller et al., 2016). The other pole represented by the governance of a singular "Project" (ML 2) that is a standalone endeavour that is has been attempting to integrate Agile principles into its more traditional management techniques (PMI, 2017).

Value Horizon (VH)

We identified the "Value Horizon" (VH) that related to the identification of traditional project governance's prioritisation of analysis, design and planning over immediate value, which we coded as a "Long-Term" (VH 1) perspective as exemplified in the concept of front-end loading (Williams et al., 2019). This approach is closely related to the SC dimension's strategic alignment and its long-term focus but differs concerning the value expectations placed on the product once execution commences. In contrast, the agile perspective is represented by the "Short Term" (VH 2) expectations of value delivered through iterative cycles (Daniel et al., 2014).

Commercial & Compliance (CC)

We identified the theme of "Commercial & Compliance" (CC) in the sample where traditional project governance is related to "Contractual" (CC 1) considerations where projects were bound to contracts and delivery milestones. Contractual arrangements of various types bind external and internal parties with governance required to ensure parties adhere to agreements and act by the laws or rules (Guo et al., 2014; Lahdenperä, 2012; Müller et al., 2016). In contrast, in Agile governance, "Cooperation" (CC 2) is the connection where parties are bound by trust and relationships that enable "relational exchanges persist over time to yield enhanced results for both partners" (Derakhshan et al., 2019).

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Technology & Industry (T I)

Finally, the sample held examples where the nature of governance influenced by the technology being utilised, presented as different industries and coded as "Technology & Industry" (TI). This dimension recognises the fundamental differences between physical and digital, or software, media. Traditional project governance is seen to relate to "Physical" (TI 1) media with public projects, megaprojects, health care, pharma and manufacturing projects being examples (Derakhshan et al., 2019; Janssen & van der Voort, 2020; Müller & Martinsuo, 2015). The Agile dimensions were coded as "Digital" (TI 2), capturing the software origins of Agile and included IT and software development projects (A. J. de O. Luna et al., 2015; Sweetman & Conboy, 2018).

DISCUSSION

The research synthesis presented was conducted on a small sample of recent papers on project governance. While the sample will need to expand, avoiding selection bias, the coding scheme developed presents a defensible and stable in the later iterations of the coding process.

The contribution to knowledge claimed by this preliminary work lies in the new perspective offered by the synthesis of traditional governance with agile principles. The fourteen codes were paired to capture the dimensions in which Traditional and Agile Governance differentiated.

The dimensions present a taxonomy to discuss Agile Governance closer to the original Agile principles than project management terminology. While this correspondence is expected, the dimensions derived here to clarify the relationship between Agility and governance. They are not simply a reversion to the original Agile Principles. Instead, they recraft and extends these principles to be relevant in an organisation-wide context. The dimensions can be related to the areas in which Agile must scale to overcome the blockers that currently stall the wider adoption of Agile principles across the organisation. Future research is needed to extend the sample size and further develop the coding scheme, potentially adding to or modifying the current dimensionality. The polarity of each dimension offers points to future tools that can plot an organisation's requirements in each dimension to guide decisions on the style of governance suited for their environment.

The recognition of governance as a generic mechanism applicable at different levels in the organisation

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and society presents an opportunity to identify and share common processes at each of these levels. This has potential for a more flexible governance mechanism as Agile and its self-organising principles challenge higher organisational governance.

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CONCLUSION

Traditional governance practices have served projects and organisations well to date, but the emergence of Agile Principles have fundamentally challenged the need for formal governance and seek to transform it at the project level. The increasingly volatile business environment has seen the widespread adoption of Agile Principles at team and project levels; however, traditional governance represents a challenge to the wider organisational adoption of Agile Principles – a barrier to what is termed Scaling Agile (Taborda, 2019).

To better understand Agile Governance, we applied research synthesis to review a small sample of recent literature on project governance to identify seven dimensions along which Traditional and Agile Project Governance can be differentiated. These dimensions represent the tensions to be found between Agile's bottom-up and emergent philosophy and traditional governance's top-down direction and oversight.

Research synthesis requires the sampling of relevant studies in the area, using the literature as conventional research uses primary data (Cooper et al., 2009). As an emerging field, the literature on the topic of Agile Governance can be expected to continue to grow and benefit from further synthesis in the future. While the sample in this study is not comprehensive, the preliminary findings and dimensions of Agile Project Governance presented herein are not expected to be significantly affected by additional literature.

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ATTACHMENTS

Figure 1 - Organisational Adoption of Agile Principles in the Governance
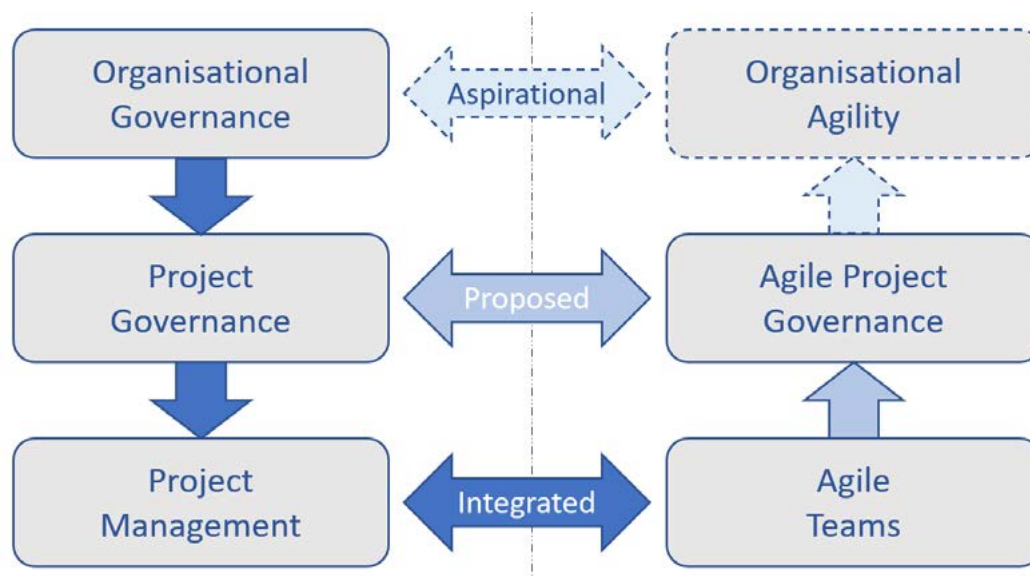
Table 1 - Traditional Management versus Agile Mindset

	Traditional Management	**Agile Mindset**
Fundamental assumption	Extensive planning	Iterative planning, high quality, high degree of trust and autonomy. small teams, continuous improvement, rapid feedback, fail fast and embrace change
Solution Clarity	Predictive development	Adaptive development
Control	Process-oriented	People-oriented
Strategic Contribution	Strategic Alignment	Emergent Strategy
Leadership Style	Command and Control and Autocratic	Servant Leader, collaborative style and Autonomous
Knowledge Management	Explicit	Tacit
Communication	Formal	Informal
Project Management	Task and activities	Products
Organisational Structure	Bureaucratic. Command and control, top-down and highly formalised	Organic, flexible, participative, encourage cooperative social bottom-up actions

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Approach	Process and procedures that get stable over time.	Behaviour and practice Agile projects are pulled in different directions by changing customer priorities and a set of legitimised requirements.
Commercial & Compliance	Being audited and ensure compliance, contractual	Achieving sustainability and competitiveness, cooperation.
Monitoring and controlling	Essentially an oversight function designed to ensure adherence to the requirements.	Transparency and people's engagement to the business.
Requirements	Plan-driven with a clear set of requirements that are baselined at the start of the project.	Sensing, adapting, and responding to change over time as each agile project sways away from its original requirements specification.
Industry	Physical, Health care etc	Software Development, IT systems, Digital

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Table 2 - Data Analysis and coding of Agile Governance Dimensions.

Title	Author(s)	Year	Source	Themes Covered	Dimensions Mapping	Codes Mapping	SC 1	SC 2	LC 1	LC 2	SE 1	SE 2	ML 1	ML 2	VH 1	VH 2	CC 1	CC 2	TI 1	TI 2
Agile and adaptive governance in crisis response Lessons from the COVID19 pandemic	Marijn Janssen, Haiko van der Voort	2020	IJPM	Agile and adaptive governance	Strategic Contribution (SC)	SC 2 - Emergent Strategy		✓												
				Time issue	Value Horizon (VH)	VH 2 - Short Term										✓				
				Centralisation issue	Leadership & Culture (LC)	LC 1 - Autocratic			✓											
				Stability issue	Solution Environment (SE)	SE 1 - Predictive					✓									
				Health Care	Technology & Industry (TI)	TI 1 - Physical													✓	
Visualizing the Knowledge Domain of Project Governance: A Scientometric Review	Zhao Zhai , Ming Shan , Amos Darko and Yun Le	2020	Review Article	Individual projects	Management Level (ML)	ML 2 - Project								✓						
				Groups of projects.	Management Level (ML)	ML 1 - Portfolio							✓							
				Public projects	Technology & Industry (TI)	TI 1 - Physical													✓	
Project governance and stakeholders: a literature review	R. Derakhshan, R. Turner, and M. Mancini,	2019	IJMP	Alignment with organisational strategy	Strategic Contribution (SC)	SC 1 - Strategic Alignment	✓													
				Agency theory	Leadership & Culture (LC)	LC 1 - Autocratic			✓											
				Transaction cost economics	Commercial & Compliance (CC)	CC 1 - Contractual											✓			
				Stewardship theory	Value Horizon (VH)	VH 1 - Long-Term									✓					
				Resource dependence theory	Management Level (ML)	ML 2 - Project								✓						
				Stakeholder theory	Commercial & Compliance (CC)	CC 2 - Cooperation												✓		
				Relations among stakeholders	Commercial & Compliance (CC)	CC 2 - Cooperation												✓		
				Trust, Ethics, Transparency and accountability	Commercial & Compliance (CC)	CC 2 - Cooperation												✓		
				Value realisation	Management Level (ML)	ML 1 - Portfolio							✓							
				Rights and responsibilities of stakeholders	Commercial & Compliance (CC)	CC 1 - Contractual											✓			
				Megaprojects	Technology & Industry (TI)	TI 1 - Physical													✓	
Portfolios of agile projects: A complex adaptive systems' agent perspective	Sweetman, R., & Conboy, K.	2018	PMJ	Complex adaptive systems	Solution Environment (SE)	SE 2 - Adaptive						✓								
				Autonomy	Leadership & Culture (LC)	LC 2 - Autonomous				✓										
				Common purpose	Strategic Contribution (SC)	SC 1 - Strategic Alignment	✓													
				Self-Organising	Leadership & Culture (LC)	LC 2 - Autonomous				✓										
				Requisite variety	Solution Environment (SE)	SE 2 - Adaptive						✓								
				Common Purpose	Commercial & Compliance (CC)	CC 2 - Cooperation												✓		
				Adaptiveness	Solution Environment (SE)	SE 2 - Adaptive						✓								
				Exchange of resources	Solution Environment (SE)	SE 2 - Adaptive						✓								
				Standardisation	Management Level (ML)	ML 1 - Portfolio							✓							
				Level of resources	Commercial & Compliance (CC)	CC 2 - Cooperation												✓		
				Need for flexible structures	Solution Environment (SE)	SE 2 - Adaptive						✓								
				Software Development	Technology & Industry (TI)	TI 2 - Digital														✓
Toward an improved understanding of agile project governance	T. Lappi, T. Karvonen, L. E. Lwakatare, K. Aaltonen, and P. Kuvaja,	2018	PMJ	(1) Goal setting dimension	Strategic Contribution (SC)	SC 1 - Strategic Alignment	✓													
				Joint performance goals	Commercial & Compliance (CC)	CC 1 - Contractual											✓			
				Clarity of goals	Strategic Contribution (SC)	SC 1 - Strategic Alignment	✓													
				Flexibility of goals	Solution Environment (SE)	SE 2 - Adaptive						✓								
				(2) Incentive's dimension	Commercial & Compliance (CC)	CC 2 - Cooperation												✓		
				Rewards tied to performance	Value Horizon (VH)	VH 2 - Short Term										✓				
				Rewards tied to performance	Value Horizon (VH)	VH 1 - Long-Term									✓					
				Risk allocation	Commercial & Compliance (CC)	CC 1 - Contractual											✓			
				Ownership structure	Strategic Contribution (SC)	SC 1 - Strategic Alignment	✓													
				Reputation and future business	Strategic Contribution (SC)	SC 1 - Strategic Alignment	✓													
				(3) Coordination dimension	Strategic Contribution (SC)	SC 1 - Strategic Alignment	✓													
				Formal control and monitoring	Leadership & Culture (LC)	LC 1 - Autocratic			✓											
				Third-party monitoring and auditing	Commercial & Compliance (CC)	CC 1 - Contractual											✓			
				(4) Monitoring dimension	Solution Environment (SE)	SE 2 - Adaptive						✓								
				Common project management practices	Strategic Contribution (SC)	SC 1 - Strategic Alignment	✓													
				Shared culture, values, and norms	Leadership & Culture (LC)	LC 2 - Autonomous				✓										
				Communication and information sharing	Solution Environment (SE)	SE 2 - Adaptive						✓								
				Change management	Strategic Contribution (SC)	SC 1 - Strategic Alignment	✓													
				Conflict resolution	Commercial & Compliance (CC)	CC 1 - Contractual											✓			
				Conflict resolution	Commercial & Compliance (CC)	CC 2 - Cooperation												✓		
				(5) Roles and decision-making dimension	Leadership & Culture (LC)	LC 2 - Autonomous				✓										
				Management structure	Strategic Contribution (SC)	SC 1 - Strategic Alignment	✓													
				Authority for decision making	Leadership & Culture (LC)	LC 1 - Autocratic			✓											
				(6) Capability building dimension	Strategic Contribution (SC)	SC 2 - Emergent Strategy		✓												
				Training and continuous learning	Solution Environment (SE)	SE 2 - Adaptive						✓								
A framework for governance of projects: Governmentality, governance structure and projectification	Müller, R., Zhai, L., Wang, A., & Shao, J.	2016	IJPM	Project governance	Management Level (ML)	ML 2 - Project								✓						
				Autonomous decisions	Leadership & Culture (LC)	LC 2 - Autonomous				✓										
				Negotiate resource	Commercial & Compliance (CC)	CC 1 - Contractual											✓			
				Internal control	Leadership & Culture (LC)	LC 1 - Autocratic			✓											
				External autonomy	Leadership & Culture (LC)	LC 2 - Autonomous				✓										
				Governmentality	Leadership & Culture (LC)	LC 1 - Autocratic			✓											
				Authoritarian governmentality	Leadership & Culture (LC)	LC 1 - Autocratic			✓											
				Liberal governmentality	Leadership & Culture (LC)	LC 2 - Autonomous				✓										
				Neo-liberal approaches	Leadership & Culture (LC)	LC 2 - Autonomous				✓										
				Projectification	Management Level (ML)	ML 2 - Project								✓						
				Status of project management	Management Level (ML)	ML 2 - Project								✓						
				Career system for project managers	Management Level (ML)	ML 2 - Project								✓						
				Projects as a business principle	Management Level (ML)	ML 2 - Project								✓						
				Percentage of business done in projects	Management Level (ML)	ML 2 - Project								✓						
				Project mindset and culture	Management Level (ML)	ML 2 - Project								✓						
				New dimensions from research	NA	NA														
				Value precept	Strategic Contribution (SC)	SC 1 - Strategic Alignment	✓													
				Process precept	Strategic Contribution (SC)	SC 1 - Strategic Alignment	✓													
				Project well-being	Strategic Contribution (SC)	SC 1 - Strategic Alignment	✓													
				Pharma	Technology & Industry (TI)	TI 1 - Physical													✓	
				IT	Technology & Industry (TI)	TI 2 - Digital														✓
The impact of relational norms on information technology project success and its moderation through project governance.	Müller, R., & Martinsuo, M.	2015	IJPM	Project success	Strategic Contribution (SC)	SC 1 - Strategic Alignment	✓													
				Shareholder orientation with behaviour control	Strategic Contribution (SC)	SC 1 - Strategic Alignment	✓													
				Shareholder orientation with outcome control	Strategic Contribution (SC)	SC 1 - Strategic Alignment	✓													
				Project success	Strategic Contribution (SC)	SC 1 - Strategic Alignment	✓													
				PM experience	Strategic Contribution (SC)	SC 1 - Strategic Alignment	✓													
				Relational norms	Commercial & Compliance (CC)	CC 2 - Cooperation												✓		
				Management flexibility	Solution Environment (SE)	SE 2 - Adaptive						✓								
				Level of control	Leadership & Culture (LC)	LC 2 - Autonomous				✓										
				IT	Technology & Industry (TI)	TI 2 - Digital														✓
Agile governance theory: Conceptual development.	Luna, A. J. de O., Kruchten, P., & de Moura, H. P.	2015	Conference paper	Beginner & Governance Experience Scenario	NA	NA														
				Value delivery & performance measurement,	Strategic Contribution (SC)	SC 1 - Strategic Alignment	✓													
				Resource management and risk management.	Strategic Contribution (SC)	SC 1 - Strategic Alignment	✓													
				Leadership inadequacy	Leadership & Culture (LC)	LC 1 - Autocratic			✓											
				Decrease in operating cost	Solution Environment (SE)	SE 1 - Predictive					✓									
				Project-driven approach	Management Level (ML)	ML 2 - Project								✓						
				Time-to-market for product or service	Value Horizon (VH)	VH 1 - Long-Term									✓					
				Economic influence	Commercial & Compliance (CC)	CC 1 - Contractual											✓			
				Influence of regulatory institutions	Technology & Industry (TI)	TI 1 - Physical													✓	
				Agile or Lean Culture Scenario	NA	NA														
				Agility & Adaptability	Strategic Contribution (SC)	SC 2 - Emergent Strategy		✓												
				Organisational culture refractoriness	Leadership & Culture (LC)	LC 2 - Autonomous				✓										
				Leanness	Solution Environment (SE)	SE 2 - Adaptive						✓								
				Project-driven approach	Management Level (ML)	ML 2 - Project								✓						
				Time-to-market for product or service	Value Horizon (VH)	VH 2 - Short Term										✓				
				Respect and cooperation of the team.	Commercial & Compliance (CC)	CC 2 - Cooperation												✓		
				Software Engineering	Technology & Industry (TI)	TI 2 - Digital														✓

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Australia, Victorian Treaty, Voices and Identity through an Indigenous

Standpoint Theoretical lens

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Abstract

Terra Australis, Southern Land, intertwines harmoniously alongside the longest continuous living cultures in the world, a place Original People governed, for more than 65,000 years. The 1788 British invasion under the guise of 'Terra Nullius', led to dispossession of country, disregard of sovereignty and systematic Colonial masterplan, eradicating Original People. Restitution comprises falsities preceding meaningful recompense. In Australia 2016, the Victorian State Government legislated Treaty enactments with Original People residing within Victoria's colonial boundaries. Exploring the Victorian Treaty process through Indigenous Standpoint Theory lens and drawing on Employee Voice and Social Identity Theories. Furthermore, reflecting on the lived experiences of Treaty from Indigenous peoples of Aotearoa/New Zealand and Turtle Island/North America, we ask, "Is Treaty the panacea to sovereignty"?

Keywords: Treaty, Indigenous Standpoint, Voice, Social Identity

* The authors utilise-Original People in preference to the colonial construct of Aboriginal or Torres Strait Islander imposed in Australia. Where other authors have chosen to identify Original People in other ways, excluding direct quotations and naming protocols, providing the meaning and intent remains unaltered, we utilise Original People as an act of self-determination and our literary standpoint. This paper is written by two Original People academics, who identify as Gurindji and Yawuru as well as a Celtic non-Indigenous author.

Introduction

Original People have occupied the continent today known as Australia for 65,000 years, comprising 650 sovereign nations, represents the world's longest continuous living culture. Our diverse nations, tribes and clans have their own governance, ceremony, language, commerce and unique connections to country. British invasion began proceeded in 1788 under the pretence of TerraNullius, 'land belonging to on-one'. Despite the ensuing years of colonisation, resulting in systematic exclusion, assimilation and genocide, our sovereignty has never been ceded. In 2016, the Victorian State Government enacted legislated to develop a Treaty with Original People residing within Victoria's colonial boundaries. This paper explores the Victorian Treaty process through an Indigenous Standpoint Theory lens and drawing on Employee Voice and Social Identity Theories. In addition, we, reflecting on the lived experiences of the Treaty for Indigenous peoples of Aotearoa/ New Zealand and Turtle Island/North America, we ask, "Is Treaty the panacea to sovereignty"? In this paper first we provide background and context to the Victorian Treaty process and outline key challenges. Second, we explore Treaty processes in Aotearoa/New Zealand and Turtle Island/North America. Third, we introduce our theoretical framework and finally we draw conclusions.

Background and context

Original Peoples in Australia have never ceded sovereignty. Prior to invasion, OriginalPeoples had sophisticated systems in place to keep order and make decisions (Pascoe 2018).

Education, lore, governance and leadership, were usually carried out by Elders of the clans (Broome 2010; Kingsley, Townsend & Henderson-Wilson 2013; Rigney 2006). Original Peoples have intricate complexities and systems. One of these complexities is the concept of 'Country'. Country is the traditional land or region from which Original Peoples live or come from as we are not homogenous people (Mansell 2016). Our

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differences include the role of: Elders, customs, language and ceremonies. Our national borders were defined well before colonisation (Broome 1997; Warburton & Chambers 2007) and our sovereign nations thrived in harmony with the land (Sovereign Land) (Deadly Story 2016). Australia's constitution is founded on a lie that there were noother laws (Aboriginal Australian Traditional Lore) in this continent prior to invasion (Langton & Palmer 2003; Mansell 2016). Based on the views that the number of 'Aborigines' was small, the lack of clothing, lack of European style farming (Pascoe 2018), and no visible governance structure, castthe 'Aborigines' as inferior' (Broome 1997)

Rose (2019) argues the underlying premise of colonisation is to "Disrupt social and familystructures, dismantle language and cultural constructs, disturb life and being and to diminish enterprise". Through policies including genocide, assimilation and infantalisation, Original People were marginalised and forced to live in poverty, thus silencing their voice (Broome 2010).

The voice of Original Peoples was excluded from the very beginning of colonisation, as the land was labelled Terra Nullius (Langton & Palmer 2003; Mansell 2016). Before the 1967 Referendum Original Peoples were not recognised as citizens in their own country. It took years of activism by Indigenous Elders and supporters to be included into the constitution. In 1992, the High Court of Australia overturned Terra Nullius and recognised the status of Original Peoples as the first people on the continent (*Mabo v Queensland no. 2 "Mabo case"* 1992). The Mabo decision bought forward a new notion in law known as 'Native Title'. Original Peoples could have their rights and interests recognised under the Native Title Act if they met two legal requirements: they have maintained the necessary connection to their traditional country; and: Their Native Title has not been'extinguished' by parliamentary or government action (such as by grant of blocks of land to non- Indigenous settlers) (Brennan et al. 2005). Whilst Original People

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made gains on land rights, on a range of other measures the disparity in living conditions, education attainment, health and life expectancy they continue to lag. 2008)

In 2005 the Social Justice Report called on Australian Governments to commit to achievingequality for Original Peoples specifically in areas of health and life expectancy (HealthInfoNet 2019). In 2007, the Council of Australian Governments (COAG), committed to 'Closing the Gap' with Original Peoples to that of non-Indigenous Australians in life expectancy (Australian Government 2020). The Closing The Gap (CTG) policy was introduced in 2008 (Gardiner-Garden Strategies were developed to reduce the disparity between the outcomes of Indigenous Australians in a range of areas including health, education, life expectancy and employment (Hoy2009). By 2019 many of these outcomes were not achieved largely due to the fact that voices of Indigenous Elders, organisations and communities were not being heard (HealthInfoNet 2019).

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Voice through Treaty – the Victorian Process

Australia is the only Commonwealth Country not to have a Treaty with its Original Peoples. It is significant, that in 2016 after some 230 years the Victorian State Government commenced a dialogue with its Indigenous community, making this Treaty the first of its kind in Australia Treaty recognises that sovereignty was never ceded by Original Peoples (Broome 2010). It recognises, values, and celebrates Original Peoples and raises awareness for non-Indigenous Australians to appreciate and value the culture of Original Peoples and recast the Australian identity (Mansell 2016;VAAC 2019). In 2019 the annual National Aborigines and Islanders Day Observance Committee (NAIDOC 2019) celebrated with the theme of Voice-Treaty -Truth, (having a Voice, Treaty UncededLand and People, True Identity Australian history) (National Indigenous Australians Agency 2019). In Victoria, to have Traditional Owners at the negotiating table provides an opportunity to address and re-dress the impact of colonisation.

In the Victorian process both the Victorian Government and society more broadly were informed by The Victorian Treaty Advancement Commission (VTAC). VTAC's purpose was to create an Aboriginal Representative Body (ARB) built on the final recommendations of the Aboriginal Treaty Working Group. However, the path to Treaty, is hazardous and complicated with many challenges. First, with the colonisation of Australia borders were created to establish the Statesand Territories. These borders crossed over ancient traditional boundaries and countries (Mansell 2016). This raises an immediate issue for the Victorian Treaty process with some clans being divided between Victoria and New South Wales. Furthermore, Original Peoples have their own Elders and leaders within their communities creating problems because of the homogenised approachto identity and voice. Second, the Victorian Constitution acknowledges that a colony was formed without appropriate consultation, acknowledgment or participation of Victorian's Traditional Owners (*Constitutional Act 1975 - Sect 1A 1975*) and that they are the original custodians of

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the lands on which all Victorians stand (Mansell 2016). Unfortunately, any legal effect or rights and obligations are not acknowledged in the Victorian Constitution (Government 2016; Mansell 2016). Third, there are over 40,000 Indigenous people living in Victoria (ABS 2016) all of whom had the right are from other countries often interstate.   Fourth, in Victoria there are 38 Clans, each having their own views about Treaty, however, only 32 seats were allocated for the election. Of those 32 seats, 11 were reserved under an endorsed model leaving 21 seats to be contested (VAAC 2019).   The Victorian Government established a criteria for Traditional Owners Clans to be registered thus gaining legitimacy within the Treaty process over other Clans. Only Organisations (Tribes/Clans) registered with the Victorian Government were eligible to be representatives in the Treaty and only Traditional Owners (TO's) of those Clans were eligible to be elected candidates. This process disadvantages clans not registered with the Victorian Government. Within the Victorian Treaty thereare other issues that need consideration including the many levels of identity being tested and the recognition of tribes/clans being represented (VAAC 2019). and that the Treaty process utilises a Western voting system whereby, Original Peoples are to be represented by their elected member. While the Victorian Treaty includes the voice of Traditional Owners, because of Victoria's demographics and the impact of colonisation there are more Original People from other country located in States and Territories living in Victoria who are eligible to vote. In this election, it is important to consider that Pan-Aboriginals (Original People not from clans/tribes from Victoria) with a residential address in Victoria has the right to vote (VAAC 2019). This may render VictorianTraditional Owners to a minority voice, with Pan-Aboriginal out numbering Traditional Owners.

Learning from the Canada Australia New Zealand United States (CANZUS)

The states of Canada, Australia, New Zealand and the United States, CANZUS were all initial abstainers to the vote on adopting the United Nations Declaration on the Rights of IndigenousPeople (UNDRIP) (United Nations 1986). However, except f or Australia, these nation states have established Treaties with their First Peoples. The

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Indigenous shared lived experience of British colonisation and Treaty can further inform the Victorian Treaty process.

Aotearoa/New Zealand

In 1840, 540 Maori Chiefs signed the Treaty of Waitangi with the British Crown. This Treatyis the founding document of Aotearoa/New Zealand, an essential component of constitutional arrangements (Hayward 2019; Williams 2004) and national identity (Berry 1994). However, the oralculture of Māori (Orsman 2012) when transcribed to the supposed unifying written words of the Crown was lost in translation (Hayward 2019; Pryor 2007). The English Treaty translation was perceived as transferal of sovereignty from Māori to British, but with Māori retaining full undisturbed possession of their lands, estates, fisheries and other property (Ruru & Kohu-Morris 2020). The Te reo Māori (Māori language) version of the Treaty that tino rangatiratanga (sovereignty) is retained over their lands and treasures and that kawanatan (governance) was handed to the British Crown (Ruru & Kohu-Morris 2020). From its inception the Māori were posited as the lesser and excluded from the benefits of their lands and treasures. Settlers initially instituted a governance system like the British legislature (Ruru & Kohu-Morris 2020) re-affirming British superiority and disregarding the tenants of Treaty. The 1852 New Zealand Constitution Act excluded Māori from elected positions. The Kaupapa Māori worldview was disregarded in pursuit of the treasures of the land by European settlers expansionist pursuit of wealth (New Zealand Government 2009). Land disputes, a desire for recompense and Māori political representation and in turn, sowed the seeds for extended political activism (New Zealand Government 2009). The Waitangi Tribunal, was established in 1975, to oversee the adherence to the principles of the Treaty. The Tribunal's major function was jurisdiction of claims brought by Māori including, "any prejudicially affected by statute, regulation, policy or practice, or any act done or omitted by the Crown" (Ruru & Kohu-Morris 2020, p. 5), later the scope widened to include historical breaches dating back to 1840 (Ruru & Kohu-Morris 2020). In 2021, the 120 elected members of the House of Representatives comprises

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seven Māori seats aligned to population parity (New Zealand Government2009; Ruru & Kohu-Morris 2020).

Today, even with Treaty, it is not the panacea to recognition and reconciliation in Aotearoa/New Zealand. When you compare Māori to non- Māori, on a number of measures for example provision of suitable and appropriate education, health services, road infrastructure, housing, employment, and the countless other opportunities otherwise take for granted by the populous, Māori fall short (O'Sullivan 2008).

Turtle Island/North America

Turtle Island is the name for the land now known as North America and encapsulates the First Nations of Canada and Native Americans of the United States (US). Turtle Island/North America Indigenous groups are well versed with treaty, long before European arrivals, this expansivecountry necessitated Treaties for trade alliances and to combat common enemies. The use of treaties made sense when dealing with new arrivals, as it was an alternative to war, thereby preferencing peace (Morse 2004).

Turtle Island/Canada treaty negotiations are viewed in four distinct periods: the earliest days of contact to the American Revolution (Peace and Friendship Treaties), from 1790 to independence in 1867 (America and Canadian independence), from 1867 to 1930 (Canada semi- independent country) and the modern era from 1975 to present (The Calder case) (Morse 2004). Treaties in Turtle Island/Canada paved the way for the British Crown to establish colonies and accessresources. First Nations had exclusive rights and benefits as well to the land including fishing, hunting, educational assistance, reserves and financial payments for lands (Government of Canada 2015b; Mansell 2016). The Crown negotiated numerous Treaties pre and post the 1867 Canadian federation. Provinces were delegated Treaty obligation including the recipients of any land ceded by First Nations (Government of Canada 2015b). The Constitutional Act 1867 emulated a British style Parliament, a House of Commons and Senate, whilst establishing Federal and Provincial governance (Munroe

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2019). Treaty terms were frequently not honoured, with multiple interpretative disputes (Alcantara 2008; Gover 2015; Vowel 2016).

In 1969 the Canadian Government sought to integrate First Nations, this radical approach was call The White Paper (Government of Canada 2015b). It called for the repeal of the Indian Act, eliminating Federal responsibility and putting an end to Treaties. The White Paper did not require consultation with the First Nations nor the allocation of specific rights. These concerns together withthe strong negative response from the general public,Led to the withdrew of the The White Paper in 1971 (Government of Canada 2015b; Vowel 2016). This was yet again another attempt to assimilate the First Nations into the general Canadian population and deny their identity and voice (McNeil 2001). More recently, in 2015, a 'whole of government approach' was outlined in the Federal Approach to Modern Treaty implementation (Government of Canada 2015a).

Modern Treaties reflect contemporary international practice, principles and legal values, matching those reflected in the UNDRIP.   Further, the Canadian Constitution (Government of Canada 1982) 'recognises and affirms all existing treaty rights of the 'Aboriginal People of Canada', including Indian, Inuit and Metis peoples (Brennan, Gunn & Williams 2004). The Federal and Provincial Governments in Canada have a duty to consult with First Nations in relation to matters that may adversely affect potential or established treaty rights (Petrie 2018). Other forms of collaboration thathave taken place outside of Treaty with First Nations and the Canadian Government. These include forming permanent bilateral mechanisms structured in the way of partnership committees and the signing of memorandums of understanding.

Despite the well-established nature of treaty, First Nations People have and continue to experience racism, stolen land, residential schools, under employment, higher mortality rates and educational deprivation when compared to non-First Nations people (MacDonald & Steenbeek 2015; Vowel 2016). Lightfoot describes Canada's Indigenous rights compliance as a paradox. Canada, self- promotes as an exemplar of engagement with Indigeneity,

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promoting its harmonious and egalitarian "Canadian Way" (Lightfoot 2010). The reality, is a mismatch of idealism that is broadly criticised onthe world stage because of the ongoing abuse of Indigenous people on the world stage (Lightfoot 2010).

Turtle Island/US have negotiated Treaties as a means of necessity for trade and protection (Mansell 2016). Treaties came out of conflict as the colonial authorities were seeking trade and settlement (Brennan 2013). Turtle Island initially colonised by the British, but following the American Independence in 1776, new Treaty negotiations with Turtle Island tribes and the US was required as the Treaties with the British were rendered invalid (Morse 2004). From 1788 to 1868 the US Government negotiated 400 individual Treaties with Turtle Island Native American tribes (Allen 2000). However, Turtle Island/Canada First Nations land ownership was not acknowledge when defining boundaries between Canada and the US, thereby creating a barriers between the people and their lands (Morse 2004). Christianity was another influence on Turtle Island. The Puritans, as part of the 'New World 'order, sought to convert the 'heathens to Christianity at the same time espousing honesty, justice, fairness, mercy and love, utilising funding provided by the Government (Port 1999; Rollings 2008). Christianity did not stop Treaties from being dishonoured by the coloniser who intruded on Indian lands and white policies that worked against Native Americans (Port 1999). Native Americans were viewed as noble savages, scientific, political, and popular opinion in the 1830s promoted the idea of Indian extinction. Native Americans were also represented as being violent evil savages who, threatening white society. The response including military force together with other genocidal techniques like starvation, exposure to germ warfare, dispossession, domination and exploitation (Port 1999; Rollings 2008).

Native Americans are separate nations with their own unique languages, customs, and sovereignty (Brennan, Gunn & Williams 2004; Mansell 2016; Wilkins & Lomawaima 2001). Sovereignty is not based on race, but is a recognition of numerous sovereign nations that occupied theland prior to settlement by colonists (Kalt & Singer 2004). Native Americans

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sovereignty continues as an significant principle in US law, Indian Nations have the right to practise extensive legislative, judicial, and administrative self-governing autonomy, as well as managing taxation, education, health, child welfare, and natural resources (Mansell 2016; Wilkins & Lomawaima 2001). However, under the United States Constitution, Congress have the power to 'regulate commerce … with the Indian tribes. The Supreme Courts broad interpretational powers can extinguish rights or obligations under Treaties (Kalt & Singer 2004; Mansell 2016). There are 560 Federally recognised Native American tribes and Alaskan Native villages in the U.S (Kalt & Singer 2004). However, some tribes are State recognised, but not Federally acknowledged (Wilkins & Lomawaima 2001) resulting in the voice and identity of those tribes being denied at a national level. While Treaty and self-determination for Native American have been honoured in many arrangements by Federal and State Governments, they remain the most disadvantaged group in the US. They are, two-and-a-half times more likely to live in poverty than the average American, and grows exponentially should they live on a reserve (Kalt & Singer 2004). Native Americans can also expect to experience greater deficits in health, wealth, general social conditions and civil infrastructure (Kalt & Singer 2004).

Theoretical Framework

Indigenous Standpoint Theory (IST, Employee Voice (EV) and Social Identity Theory (SIT)

We argue that exploring the question - is Treaty the panacea to sovereignty? Our focus on the Treaty process in Victoria must first be viewed through the lens of (IST). IST acknowledges Original People's ways of knowing, being and doing before colonisation and captures the multiplicity of their identity and voice (Larkin 2014; Rigney 2006). Original Peoples' oral histories, stories and narratives (Foley 2003) have meaning that when translated into English is often lost (Pryor 2007). Original Peoples Jarrakup (meaning speak language in Gurindji) was limited due to colonisation and is threatened as many traditional Indigenous languages disappearing. Despite the diverse backgrounds of the Jarrmip (Together as Equals Language in Gurindji), there has been a resurgence in reclaiming Jarrakup and learning the

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language of ancestors. This resurgence also values Indigenous paradigms, the set of beliefs which align and guide actions (Wilson 2001).

Original Peoples, as the subject of research are for the most part, studied by non-Indigenous researchers who often have a colonial bias (Martin & Mirraboopa 2003). Rose contends that IST is a paradigm nourishes an evolving methodology that supports the work of the growing Indigenous researchers.   Furthermore, this paradigm challenges the status quo, as these academics utilise the approach for cultural, spiritual and intellectual liberation (Rose 2017). IST provides the opportunity for Indigenous knowledge, research and wisdom that has historically been ignored by institutions to come to the fore. Indigenous researchers maintain that Indigenous methodology is inclusive of the Indigenous researchers' own standpoint, because it influences their conceptual framework and methodology (Moreton-Robinson & Walter 2010). There is acknowledgement that researchers are accountable not only to the Jarrmip, but the wider Indigenous community (Louis 2007; Rigney 1999). In respecting the Jarrmip Indigenous researchers may have more in common in understanding their lived experiences by way of cultural traditions, interests and knowledge systems (Nakata 2006; Rigney 1999). Indigenous studies by Indigenous scholars identify many commonalities and four unwavering principles: **Relational accountability**, 'the shared dependence on our environment and everyone around them, all our relations, be it air, water, rocks, trees, animals, insects, humans, and so forth' (Louis 2007, p. 34). To be respectful, is to look at the way you present yourself, your research and the people and the events and phenomena you are researching' and accepting that not all knowledge that is shared is for the general public (Louis 2007).

Reciprocal appropriation, "Indigenous research is ultimately about reciprocal relationships betweenthe researcher and the researched" (Henry & Foley 2018, p. 213) it recognises that 'all research is appropriation' and requires suitable benefits for both the Indigenous people and the researcher (Louis2007). **Rights and regulation**, research that aligns to Indigenous protocols, encompasses clearly framed goals, and contemplates the impacts of the proposed research (Smith

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2012) to acknowledge Indigenous peoples' rights to 'own' the knowledge shared with the researcher, ensuring that it is a collaborative legible language where any findings shared with community (Louis 2007). The knowledge emerged and is recorded for the community and not just the academy, Knowledge is owned by the subjects not the researcher (Foley 2003). Indigenous cultural voice goes beyond agency and is a tool to foster interconnectedness which when articulated marries to the past present and future (becausein this way ancestors have a voice in the present). Voice is a way of expression and people are the vehicle articulating of that voice. (Foley 2003)

The representation of voice in the Treaty process is important because voice can be an agent for change (LePine & Van Dyne 1998). EV is a useful concept although it focuses on employees in organisations rather than social movements, it identifies voice structures which can be applied to the Victorian Treaty process. These structures can be direct or indirect using formal and informal communication and decision-making conduits (Morrison 2011; Wilkinson et al. 2014). Direct voice is often seen as 'two-way communication between management and employees' (Bryson2004, p220) which opens opportunities for employees to voice their concerns directly to management (Dundon & Gollan 2007). Indirect voice is where a third party provides representation (Bryson 2004;Freeman, Boxall & Haynes 2007). Voice can also be consultative where final decisions are made by one party or participatory where decision making is consensual (Strauss 2006). Wilkinson et al (2018), speak of voices that are unheard and argue that voice studies tend apply a universal EV model to cover all workers and in effect exclude minority voices by utilising inappropriate structures and avenues for the inclusion of their voice (Wilkinson et al. 2018). In this way members of minority groups are at greater risk of not being valued by colleagues in the workplace. They are afraid to speak up. Recent studies call for diverse but equal treatment for employees from minority group requiring nuance strategies that respond to their unique identities cultures, language and capacity (Bell et al. 2011; Wilkinson et al. 2018). There are other reasons why people are silent in the workplace, these include; being ignored or given the 'silent treatment' (Williams, Shore & Grahe 1998) and feeling that to speak up would be fruitless (Pinder & Harlos 2001). As a result loyal employees become languishing in silence, disengage, withdraw or leave their employment (Hirschman 1970). Evidence

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suggests that without representation minority groups are at very high risk levels of being silent (Bell et al. 2011; Trau, Hartel & Hartel 2013). Within the context of the Victorian Treaty process, an EV lens can help inform how people of race and colour are represented, whilst also exploring how the role disadvantage and marginalisation plays in restricting their 'voice' (Fraser 1995). However, Alang, Stanton & Trau (2020) explored EV in the context of Indigenous employees in public sector organisations in Vietnam and argued that the use of voice practices on their own did not lead to Indigenous voice being included or heard. Instead they identified inclusive leadership as a strategy that values the culture and perspectives of Indigenous people and creates a sense of belonging.

Social Identity Theory is valuable here in understanding belonging. People can belong to many social groups which make up their identity and these can include race, ethnic groups, family, social class andothers (Tajfel 2010). In cultural groups, ones' connection to culture, including beliefs, values, spirituality and how life is structured such as lore, rituals, taboos and protocols become one's identity (Tseng 2003). When people self-categorise as members of a social group, they tend to internalise the group values and develop a bond with the group. Hence, the group's interests also become their interests and affiliation and membership provides them with the feelings of belonging (Hogg, Terry &White 1995). Original Peoples can have multiple identities including Aboriginal identity, Mob (Clan/Tribe) identity or Australian identity. A psychological connection with each social group may vary accordingly to the centrality of their identity and situation (Settles 2004). In general, tribe or clan membership tend to be central to Original Peoples as they are deeply influenced by Elders, moieties, country and rituals, protocols and songlines of their clans, and these become a central part of their identity. SIT not only explains individuals' connection with groups, but also defines interpersonal relationships. People tend to view those in the same social group as in-group and other social groups as out-groups (Abrams & Hogg 1988; Hogg et al. 2004; Terry, Hogg & White 1999). As a result of the self-categorization process, people may hold different views towards in-group and out-group members. For example, holding positive views towards in-groups over out-groups, may result in in-groups being found to be more

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trustworthy, and worthy of support (Ellemers, Kortekaas & Ouwerkerk 1999; Hogg, Terry& White 1995). This bias is motivated by the tendency to enhance one's self-esteem, a sense of confidence and group identity (Ben-Ner et al. 2009), but can lead to adverse consequences for out-groups, such as prejudice, discrimination and stereotyping (Hogg, Terry & White 1995) (Ellemers, Kortekaas & Ouwerkerk 1999; Tajfel 2010). Prejudice and discrimination can cause directconflicts and hostility between members of different social groups (Abrams & Hogg 1988) leading to the eradication or abuse of other groups (Tajfel 2010). The categorisation of in-groups and out-groups help to explain peoples of their social memberships and divide people into "us" and "them" (Tajfel 2010 one example (Government could be seen as the in-group and Original Peoples seen as the out-group).   SIT in valuable in exploring the Treaty process in Victoria because it provides a useful lens through whichto understand the attitudes, behaviours and diversity of the Original People.

Conclusion

The Original People in Australia have no nationwide Treaty, leaving it to the States to negotiate separate Treaties. The State of Victoria has taken the first steps. In this paper we asked the question is Treaty the panacea to sovereignty? We acknowledge that while the Victorian Government may have good intentions, sovereignty has not been discussed or guaranteed. Furthermore, the Treatyprocess itself is fraught with dangers. We note that in other CANZUS states, despite having a Treaty, there is aclear deficit in standards of living, health, employment, education and life expectancy which can suggests Treaty isn't the panacea to all. We argue that the success of the Victorian Treaty process depends on the robustness of the inclusion of the voice of Original Peoples.

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6. Leadership, Governance and Strategy

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**An Enduring Relationship between Risk Appetite and Organisational Strategy in turbulent times: A Conduit to Bouncing back in the "The New Normal"
An Integrative Critical Literature Review.**

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**An Enduring Relationship between Risk Appetite and Organisational Strategy in turbulent times: A Conduit to Bouncing back in the "The New Normal".
An Integrative Critical Literature Review**

ABSTRACT:
The relationship between risk appetite and organisational strategy is enduring during ever-changing landscape of uncertainties. It is more than just a call to reset using a Business Continuity Plan. Risk appetite is of growing importance to leadership and governance by boards, to be vigilant amid prolonged turbulent times, "The New Normal". Although risk management has evolved over the years, the increase in frequency of unprecedented times, such as bushfires, monsoonal events, and COVID-19 pandemic without a clear end, has not made it easier to manage risk. To build back better and broader in turbulent times, an integrative critical review of literature paved way to new insights, "The Risk Appetite & Organisational Strategy Model" (TRAOSM)" to close the gap in literature.

Keywords: risk appetite, organisational strategy, Enterprise Risk Management (ERM), turbulent times, Business Continuity Plan (BCP), integrative literature review

BACKGROUND TO THE STUDY

The "New Normal" Environment

The implementation of risk management processes has been evolving over the years (Crockford, 1982; Hardy, 2014; Soltanizadeh, Abdul Rasid, Mottaghi Golshan, & Wan Ismail, 2016), and so is its literature and how it is perceived by both individuals and organisations (Cooper, Downer, & Faseruk, 2019). The complex, more diverse and interconnected business environment, where risk exposure continues to grow has made it very challenging to manage risk (Abrams, 2007; Drucker, 1993; Massari, Gianfrate, & Zanetti, 2016; North & Varvakis, 2016; Rehman & Anwar, 2019; Shad, Lai, Fatt, Klemeš, & Bokhari, 2019). However, turbulent times seem to prolong, remain unpredictable and pose more risk to sustain the business (Bandyopadhyay, 2020; Barrows & Neely, 2012). According to Donthu & Gustafsson (2020) it is of utmost importance for organisations to conduct proper assessment and feasibility analyses of their business models.

This paper aims to critically review the relationship between Business Continuity Plans (BCPs), risk appetite and organisational strategy as key components of Enterprise Risk Management (ERM). The integrative critical literature review methodology is used, guided by the protocol detailed in **Table 1**. This methodology is of interest because it allows for "reviews, critiques, and synthesises representative literature on a topic in an integrated way such that new frameworks and perspectives on the topic are

generated" (Torraco, 2005) page 356. This paper seeks to derive new theory that shows the enduring relationship between risk appetite and organisational strategy that is beyond the implementation of a normal Business Continuity Plan in turbulent times. Enduring in the sense that they are central components to the Enterprise Risk Management (ERM) discipline and they are transferable to address new situations in an organisation.

Although the novel coronavirus (COVID-19) has brought about opportunities for some (Gupta & Goyal, 2020), for many, COVID-19 has led to unprecedented levels of uncertainty on a global, political, business, and personal level (Buheji & Ahmed, 2020; Maniakas, 2020; Sohrabi et al., 2020). COVID-19 has threatened how organisations operate and are governed (Bandyopadhyay, 2020; Chaplin, 2020; Kurian, 2021). At the same time, global warming has become increasingly prominent and so are the global climate change effects, such as bushfires and monsoonal events (Arnell, Lowe, Challinor, & Osborn, 2019; Ying, 2020). Trade wars and corporate crises are on the rise (Joan & John, 2020; Z. Yang & Jiang, 2015). These factors are not making it any easier to manage organisations during turbulent times like the COVID-19, a pandemic whose shock is unprecedented in terms of its speed, scope, and intensity (K. Yang, 2020). Understanding and facing these challenges is the foundation for organisations to create change (Kurian, 2021). Stakeholders have been forced to pause, rethink, redefine and reframe risk management and how business is conducted (Gössling, Scott, & Hall, 2020; Gupta & Goyal, 2020; Herath & Herath, 2020; Karabag, 2020; Paniati, 2020).

Although the COVID-19 pandemic has encouraged the application of robust risk management in general, the integrative critical literature review identified gaps and made contributions to theoretical literature and new insights. Risk Management professionals and academia may leverage findings from the accelerated ERM knowledge created that unveils a model to close the gap. Accordingly, the layout of this paper is as follows. The second section outlines the literature review methodology used. The third section critically reviews relevant publications to ERM, Business Continuity (BCP), risk appetite and organisational strategy identified by the methodology. Gaps were identified in the third section. The fourth section presents and discusses the contribution to literature that supports **Figure 1**, aimed at covering the gaps identified in relevant literature. The conclusions to the study are given in section five.

METHODOLOGY

Research problem: The concept of risk appetite as an Enterprise Risk Management (ERM) component seem to be completed as a 'box-ticking' exercise by the boards and organisations in general.

Research question: How integrated are Business Continuity Plans, risk appetite and organisational strategy as enduring components of ERM in turbulent times?

To address the research question, an integrative critical literature review was conducted, and gaps were identified in relevant publications. The integrative approach was most appropriate because the concept of BCP is a mature topic that calls for a review, critique, and potential reconceptualization of the BCP processes, while at the same time, the risk appetite concept does not fit neatly into "old" or "new" concept (Torraco, 2005, 2016). **Table 1** shows the iterative and rigorous protocol followed by the integrative review. It also highlights the multi-step approach taken to compile the publications for review. Analysis of information categories established showed gaps in literature. While there seem to be tentative models that can address the issues related to "Non-Normalcy" such as in tourism, hospitality and supply chains businesses, they do not discuss ERM as an overall leadership and governance tool for boards and executives to manage risk throughout an enterprise in turbulent times? Gaps in literature on how risk appetite and organisational strategy are enduring components of ERM that transition from Business Continuity Plans are identified. Gaps were identified in how these three components exist in a normal environment and not addressed in turbulent times, the "new normal". These gaps were closed by developing "The Risk Appetite & Organisational Strategy Model" (TRAOSM).

Insert **Table 1** about here

LITERATURE REVIEW

Enterprise Risk Management (ERM)

Many studies have given different perspectives to risk including its definition. A universally agreed upon definition of risk has been difficult to develop, In 1981, The Committee of the Society for Risk Analysis printed 13 definitions of risk on their program of its first meeting (Haimes, 2009), which is evidence of how difficult defining risk can be. This understanding is consistent with (Aven, 2013;

Hansson & Aven, 2014; Rehman & Anwar, 2019), who pointed out that risk is a broad, multidisciplinary topic and multi-faceted concept with no universal definition and so are many risk management areas that struggle with the nomenclature. However, the most common contemporary view gathered by the researchers across the literature is that risk introduces the possibility that something may go wrong, and, can stop achievement of planned goals, but at the same time, opportunities can be realised (ISO 31000, 2018; Acharyya, 2008; Chapman, 2011; COSO, 2017; Dionne, 2013; Stanton & Webster, 2014).

A strategic, holistic, and integrated approach to managing risk is referred to as Enterprise Risk Management (ERM) (ISO 31000, 2018; Abrams, 2007; Acharyya, 2008; Chappell, 2014; COSO,2017; Lam, 2014; Oulasvirta & Anttiroiko, 2017; Stanton & Webster, 2014; Yilmaz, 2010). According to Hoyt & Liebenberg (2011) and Kwak & Stoddard (2004), the weakness though with most risk management practices is that they are too generic, making it important and valuable to invest in effective ERM processes. Organisations can reduce unexpected and costly surprises and improve the effectiveness of resource allocation by implementing effective risk management processes (Hanggraeni, Ślusarczyk, Sulung, & Subroto, 2019; Sarker et al., 2016; Soltanizadeh et al., 2016).

Scholarly knowledge posit that ERM is a significant mediator between organisations strategy and performance ((Abolfazli, 2019; Beasley, Frigo, & Litman, 2007; Berry, 1994; Bhaumik, Estrin, & Mickiewicz, 2017; Feldman, 2020; Rehman & Anwar, 2019; Scholes, Johnson, & Whittington, 2002; Soltanizadeh et al., 2016). However, scholars seem to neglect an ERM's important component of risk appetite. According to Ashby, Bryce, & Ring (2018) and Lundqvist (2015), ERM implementation has been criticised for encouraging an over-simplified approach to risk assessment. (Lundqvist, 2015) argues that, if organisations focus on implementing an integrated approach to continue business and effectively manage risk, it should be good enough to anticipate a complicated process with a lot of interrelated processes and outcomes.

BUSINESS CONTINUITY PLANS (BCP)

Many scholars define a Business Continuity Plan (BCP) as a plan that simply sets out in a clear logical order what an organisation will do to prepare, prevent, and respond immediately aftermath of a disruption to continue critical business functions until return to Business as Usual (BAU), while

minimising risk (Akbari & Gurning, 2020; Cerullo & Cerullo, 2004; Clark; Elder, 2019; Ellen, 2008; Garrod, 2006; Hiles, 2011). While BCPs can minimise the loss caused by any disruption, evidence has shown that the COVID-19 is a multifaceted challenging pandemic with long-term effects (Contini et al., 2020; Tunio, Shaikh, & Lighari, 2021).

According to Shearwater Health (retrieved 30 June 2020), Business Continuity Plans (BCPs) have been challenged and fallen short of resilience when the entire world shut down simultaneously. The Organisation for Economic Co-operation and Development (OECD, 2020) supports the same notion by pointing out that, sustained long-term economic recovery from the COVID-19 crisis to be durable and resilient, is no longer a matter being brought about by a return to Business as Usual approach. There seems to be a gap in the academic realm of how organisations can "build back better and broader" (We Mean Business Coalition 2020; OECD, 2020) in turbulent times.

RISK APPETITE

Risk appetite is still evolving and is of growing importance to regulators, governance, and leadership by the boards and yet most organisations struggle to outline what risk appetite means for them and its usefulness as a concept (Aven, 2013; Davison, 2011; Hansson & Aven, 2014; QAO, 2015; Segal, 2006). However, according to Aven (2013) this should motivate further analysis and establishment of a stronger theoretical fundament for use of risk appetite, which this integrative review aims for. Risk appetite is an area where industry practices are still evolving and the primary challenge lies in linking risk appetite with a firm's planning process (Lentino, 2012). Risk appetite also has varied definitions and concepts aligned to it. The consistency approach is that risk appetite determines the level of risk an organisation is willing to take and accept within set boundaries to achieve its objectives (31000, 2018; Ashby et al., 2018; COSO, 2017; Stanton & Webster, 2014; Wang, Yan, & Yu, 2017). However, Cremonino (2011) goes further and postulates that the risk appetite must be fully embedded in the planning process to ensure the long-term sustainability of business activities.

According to Segal (2006), many ERM committees define risk appetite in the context of their Economic Capital. The downside of this though is, the capital-centric approach may not fully capture all risks of

the enterprise and do not necessarily result in the optimal level of ERM risk. A gap in the literature exists in that, risk appetite seems not to be discussed in the context of short-term sustainability of business activities nor how it clearly complements ERM processes during turbulent times.

According to Lam (2017), the board develops and regularly reviews the Risk Appetite Statement (RAS) to make sure that it is compatible with the organisation's goals. These RAS must be uniform across an organisation (Iraci, 2016). Hardy (2014) has given a different perspective as RAS is considered too broad to apply across the whole organisation. Most organisations commonly make the mistake of considering the Risk Appetite Statements as static policy statements or an end to itself (Williams, 2019). Scholarly literature seems not to discuss the concept of Risk Appetite Statements (RAS) and related tolerance levels as a paramount piece to ERM in turbulent times. While there is a growing importance of risk appetite, it is also largely being discussed outside of the academic realm (Hoyt & Liebenberg, 2011).

ORGANISATIONAL STRATEGY

A revisionist view that "corporate strategy does not matter, gained considerable influence for some years" (Bowman & Helfat, 2001). However, this was proved to be wrong as the need of a corporate strategy is still upheld today in many studies (Abolfazli, 2019; Beasley et al., 2007; Berry, 1994; Bhaumik et al., 2017; Feldman, 2020; Scholes et al., 2002). The variance decomposition studies were used in risk management to show the importance of corporate strategy. The results proved that "corporate strategy matters, and it contributes to the profitability and other corporate effects" (Bowman & Helfat, 2001; McIntosh, 2016).

Most study lenses for strategic planning look at the "big picture" of the organisation and for leaders to think strategically and make rational decisions that optimise organisational performance (Feldman, 2020; Rehman & Anwar, 2019; Scholes et al., 2002) However, the study by Bryson (2011) and Cocks (2010) revealed that there is a need to go a step further by balancing strategy formulation with strategy execution. Defining a clear strategy can be a difficult process for organisations, especially translating the strategy into action and performance (Achampong, 2010; Epstein & Manzoni, 1998). Notably,

studies seem not to address the impact on long term organisational strategy during prolonged turbulent times.

The interrelationship between organisational strategy and risk appetite is very difficult to determine (Iraci, 2016). Based on the synthesis of the literature, this paper established a new insight. The paper calls for accelerated knowledge creation in ERM and the integration between risk appetite and organisational strategy that is beyond the implementation of a normal Business Continuity Plan during turbulent times.

PROPOSED 'THE RISK APPETITE & ORGANISATIONAL STRATEGY MODEL'

To build back broader and not just better (OECD 2020) in turbulent times, a new insight The Risk Appetite & Organisational Strategy Model' (TRAOSM) is proposed by the researchers to fill the gap in the literature. The TRAOSM, **Figure 1** helps organisations understand the business environment during the shift from Business as Usual to behaviours during turbulent times and how the risk profile, risk appetite and organisational strategy, Business Continuity Plans, and long-term vision of an organisation change. TRAOSM is explained in two phases although, the transition process from one phase to the other is not visible as turbulent times are characterised by shrunk reactive timelines. Phase 1 is partially supported by current literature discussed about Business Continuity Plans, and then transitions to phase 2, to form the new model, TRAOSM.

The new insight includes both phases as sub-domains of ERM and they form the Business Continuity Management of an organisation. However, TRAOSM considers an organisation could still be operating in phase 1 (assuming a normal environment) yet the environment has transitioned into unprecedented unstable times with no certainty to end of disruption. Alternatively, am organisation could have realised the existence of phase 2 (turbulent times) but tried to transition inadequately equipped. TRAOSM acknowledges existence of a "denial" state as common where organisations harness the cross-sectional efforts from both phases. The events occurring are unstable and unpredictable and yet at the same time, presenting a false sense of stability as cycles of troughs and peaks exist. This model assumes that responses to such instabilities depends on organisational factors such as risk maturity, changes in

policies and procedures, assessment of "must do", "stop doing" or "may start doing" business activities to find a balance in the 'New Normal' turbulent environment.

Phase1: Business Continuity Plan (BCP)

A Business Continuity Plan (BCP) is aimed at planning and recovery of critical functions as quickly as possible from any disruptions regardless of the type of disruption to return to normalcy. Emergency Management Plans and Crisis Management Plans are usually activated ahead of BCPs but in some instances, BCPs are activated in parallel depending on the nature of business and disruption. TRAOSM considers these plans as band aid fixes that will not survive as stand-alone plans during prolonged turbulent times, such as the COVID-19 with no clear end and whose shock is unprecedented in terms of its speed, scope, and intensity (K. Yang, 2020). TRAOSM sees beyond a Business Continuity Plan that aims to return to Business as Usual (BAU).

The TRAOSM considers, traditional BCPs not to suffice in prolonged turbulent times as the organisational strategy is threatened and requires a shift. In **Figure 1**, the BCP is operating in a "normal environment, where there is some level of "certainty" in recovery time or duration of the "temporary" disruption incident, such as cyclones, bush fires and computer network failure. In a "normal environment", there are minimum disruptions to the organisations' risk appetite nor thoughts to amend the Risk Appetite Statement as the disruption is considered temporary. TRAOSM considers this state as a "false" sense of recovery at the onset of turbulent times as organisations assume a quick return to 'Business as Usual'. The boards' involvement or voting is usually minimum and there are no discussions on the table to change the organisations' long-term organisational strategy (Corporate /Strategic Plan). Failed BCP implementation is usually blamed on poor leadership. Impact to the organisations' Business Model if any, is immaterial and its survival is not really threatened. However, TRAOSM takes this environment as a poor foundation that set organisations to fail as they ae not working towards BAU but a landscape of uncertainties.

The activated BCP during a disruption manages risks already identified during the Business Impact Analysis (BIA) conducted during the development of the BCP and are being managed in the risk register. Business functions with the lowest Recovery Time Objectives (RTO) are identified as critical functions

and are a priority to be recovered during a disruption. BCPs have been known to tackle 'normalcy' environment. Staff not delivering critical functions can work remotely, are excused from operations, or are redeployed to assist recovery of critical functions versus redundant employees in turbulent times. However, TRAOSM takes the BCP to be treating the wrong risks. TRAOSM ditches the use of just BCPs during turbulent times, but a combination of both phase 1 and phase 2 as part of business continuity management. TRAOSM shifts focus to innovative, transformative strategies and smaller steps towards long term goals with focus on opportunities presenting themselves. Risk taking is balanced with protecting high returns business activities.

Phase 2: The Risk Appetite & Organisational Strategy Model' (TRAOSM)

The "New Normal", environment presents a new risk profile, difficult to control as it is characterised by fluctuations and chaotic situations. TRAOSM considers existence of a chaotic environment where new risks must be added to the risk register and closely monitored while some old risks seize to be risks and are made inactive. Complaints and compliance breached could be on the rise, revenue losses, risk tolerances and key performance measures performing outside the acceptable boundaries and dashboards start to show some amber or red. Senior management attempts or workaround to address the prolonged disruption are ineffective as a clash between the traditional BCP and the "new normal" becomes evident. Senior managements' span to change organisational strategy is exhausted and thoughts to do things differently start to present. The researchers refer to this as the "light bulb moment" as the Business as Usual is not reached. However, negative effects are being felt by the business. A transition becomes inevitable to fully implement The Risk Appetite & Organisational Strategy Model' (TRAOSM).

TRAOSM Phase 2 is a transition from the Business Continuity Plan (BCP) and acts as a boost in Business Continuity Management of an organisation. Corporate Governance becomes more crucial than ever before with the board's presence vital to review organisational strategy. TRAOSM requires development of an "Abridged Organisational Strategy" of the long term strategic plan. Long term plans are revised to establish milestones necessary to pursue in the short-term to support business survival, while taking on board new opportunities. TRAOSM calls for better leadership by the board to review the Business Model to support the revised risk appetite which is now being discussed in the context of

short-term sustainability of the business activities and new opportunities (upside risk). A total Business Model turnaround can easily see an organisation change business focus, for example a shift from manufacturing gloves to hand sanitisers.

Under TRAOSM Risk Appetite Statements (RAS) cease to be static statements but supported by fluid tolerances that are often changed in line with the changes in the environment. TRAOSM forces risk taking to be adjusted and aligned to the "abridged" organisational strategy such that the organisation operates within its newly established risk appetite. An enduring balance between organisational strategy formulation with strategy execution acts as a conduit to business survival. For example, reducing risk appetite levels for customer satisfaction filters change to service delivery strategy being applied. This was evident with Australia Post during 2020 where the organisation demonstrated a shift in risk appetite and organisational strategy numerous times to suit changes in the COVID-19 unstable environment. Delivery of mail in most areas was reduced from a daily routine to a 2- or 3-day delivery span. Appetite for customer satisfaction would have dropped while the Health and Safety of staff took priority.

Insert **Figure 1** about here

Figure 1 demonstrates how BCPs transition and change the organisational strategy and risk appetite to simultaneously exist to achieve organisational objectives. The diagram shows how risk appetite shifts during turbulent times in line with increased or reduced appetite, and new opportunities such that this shift is not optional to survive. The example shows, the risk appetite for staff training on code of conduct that has shifted from an avoidance approach to risk taking to an acceptable level that is, the organisation is content with dropping staff training from 80% which had an upper tolerance of plus 15% and a lower tolerance of less than 5% to 60% with an upper tolerance of plus 2% and lower tolerance of less than 10%. Training risk appetite level might be dropped to just operate on a baseline, where minimum baselines and national averages can be adopted for other metrics. TRAOSM discussion holds constant the effects to the Human Capital strategy. Transfer of funds within the adopted capital and operational budgets is dependent on changes in risk appetite.

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TRAOSM recommends new tolerance analysis in data simulations be conducted to get accuracy in "abridged" tolerance levels to support the "abridged" organisational strategy. Board and Executive scrum meetings are held more often with minimum public consultations versus updates, plans and processes are reviewed as shift in risk appetite and tolerances become a common feature. TRAOSM considers scenario planning as a good governance act at all board meetings. The environment is dynamic and TRAOSM requires monitoring of external news and escalation of information appropriately to decision-makers to effect organisational strategy change. TRAOSM encourages organisations to rethink other approaches that sustain, recover or grow the organisation including ways to maintain current and acquiring new customers for current and new business. Both downside risk and upside risks is considered. A lot of effort is required to optimise the prices for current goods or services. TRAOSM calls for a communication plan and a portal for customer updates as they frequently change. A dedicated responsibility is encouraged to keep pace of updates. These conditions show how TRAOSM presents differently to the 'New Normal' environment than just a BCP to return to Business as Usual.

TRAOSM is an integrated model anchored on ERM with concepts that assist the business to spot directional shifts ahead of their rivals. Emerging risk is always on the boards' agenda. This allows for a 360-degree review of the business scope constantly and situations such as 'split' Risk Appetite Statements (RAS) start to present into core and non-core business and further clarity on primary and secondary risk appetites are made clearer to adjust to the turbulent environment. This aims to give assurance that risk is being managed within adjusted acceptable risk appetite levels to bounce back and protect business operations. Risk parameters become clearer such that if breached, would necessitate escalation and corrective action. New tolerances are added, and some discontinued in line with the business context being unveiled in turbulent times. Risk appetite tolerance levels are never meant to be punitive, but a good governance guide to corrective actions within ones' span of authority. The new insights revealed how risk appetite and organisational strategy are enduring, agile and flexible components in turbulent times as they are constantly changed not to just survive but build better and broader versus the traditional approach to long term organisational strategy and static Risk Appetite Statements where recovery from disruptions rely on a step-by-step Business Continuity Plan.

CONCLUSION

In conclusion, 'The Risk Appetite & Organisational Strategy Model' (TRAOSM) has accelerated ERM knowledge creation by providing a guiding model for organisations to use in turbulent times. The model posits that, the traditional Business Continuity Plan is a short-term necessary tool but not sufficient to ensure innovative and transformative strategies required to successful bounce back, and build better and broader for businesses in turbulent times. Through a multidisciplinary lens, the integrative review improved the conceptual understanding of the enduring relationship between risk appetite and organisational strategy, to serve as a conduit that assists organisations to bounce back during turbulent times. During this process, risk appetite, tolerance levels and "abridged" organisational strategy continuously change to find a temporary balance that can possibly turn to be permanent with new business opportunities to allow for business survival in the "New Normal" environment.

Lessons learnt in the course of conducting the integrative critical literature review are insights on the ineffectiveness of Business Continuity Plans in turbulent times. TRAOSM calls for organisations to adjust their approach to Business Modelling beyond use of BCPs. TRAOSM is a tool to improve governance and leadership by boards such that ERM is not treated as a "tick in a box exercise" but a conceptual approach where the strategic behaviour of the organisation is aligned with its environment. The model possibly helps to explain why some organisations are more adaptive during turbulent times than others. The boards' leadership, governance and organisational strategy execution is at test.

The integrative critical review provides a context for new research given that ERM is a complicated process with a lot of interrelated processes and outcomes. The researchers recommend a further literature review study on the linkage between TRAOSM and organisational performance during turbulent times to ensure full integration in ERM processes. The researchers recommends testing the TRAOSM model in an organisation by collecting data or design an experiment for collecting data in the context of "Risk Appetite" & "Organisational Strategy." A 'Mixed Method' approach can be applied to value the research objective. Evaluation of forecast performance for stability and sustainability of the proposed model will complete a test to the results of an integrative literature review, a research that offers much potential for changing the way organisations and individuals think (Torraco, 2005).
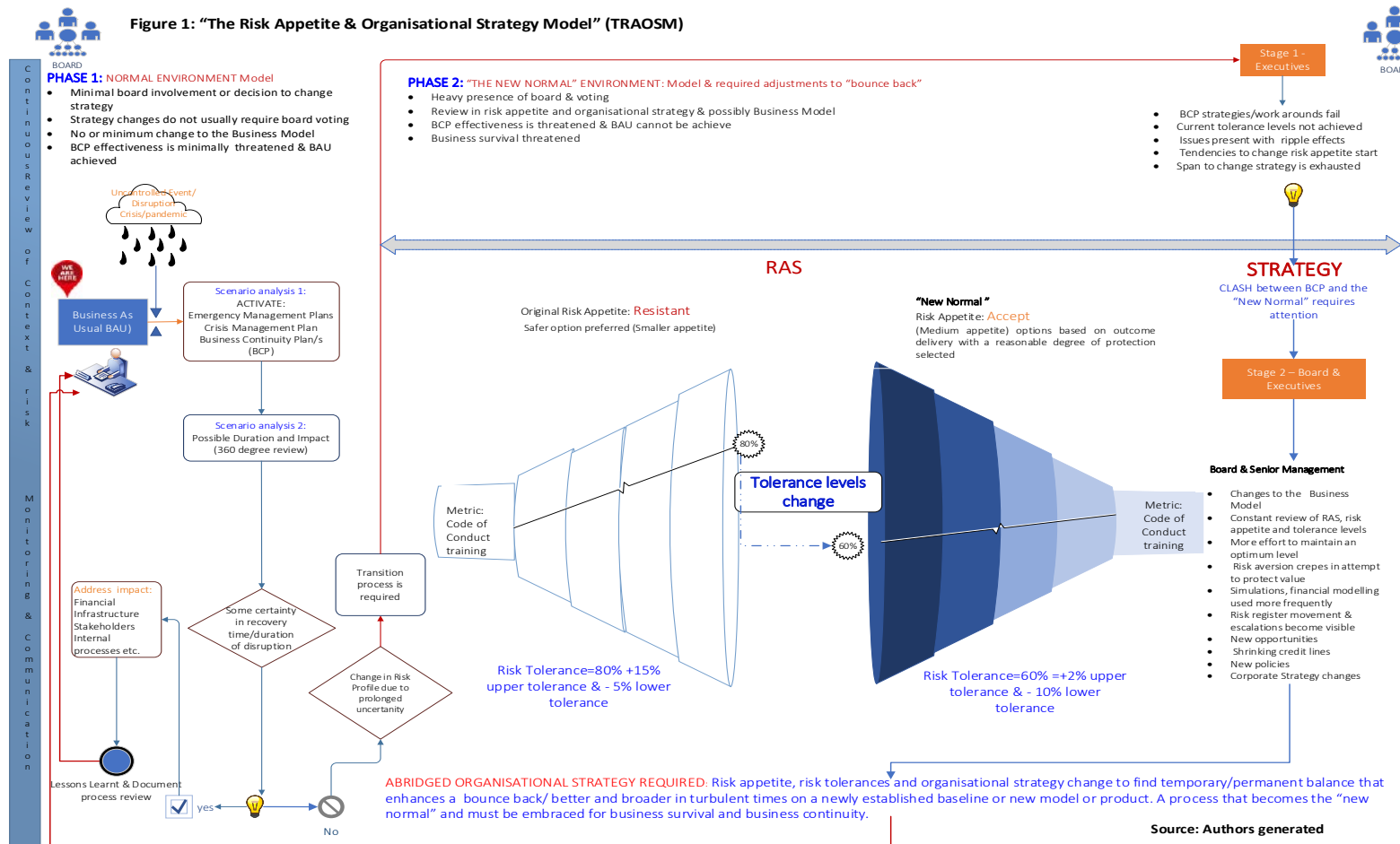
Table 1: The Integrative Critical Literature Review Protocol

Conceptual structuring of the Review	• ERM is the conceptual concept offering guiding theory • Risk Management Frameworks such as ISO 31000 (2018) and COSO (2017) are a set of guiding models
Keywords used to search the literature	• Enterprise Risk Management (ERM), Business Continuity (BCP), risk appetite and organisational strategy in turbulent times
Databases used	• Google Scholar, One Search and google (to cover grey literature) electronic databases
Qualifying criteria: Inclusions/exclusions criteria	• English publications • Publications between 1990 and 2021 • Relevant titles and abstracts • Accessible full text publications • Citable studies such as Academic Journal articles • Full articles • A total of 78 publications were initially identified and after • Criteria a final 45 studies were included.
Review process	• Relevant publications to ERM, Business Continuity (BCP) risk appetite and organisational strategy • Initial review of abstracts, followed by in-depth reviews • Discussions guided by logic and clear conceptual reasoning • Critique literature of the main ideas and relationships
Synthesizing new knowledge	• Focused on core issues • Created a better understanding of ERM through synthesis • Data coding and grouping into main categories
New knowledge	• TRAOSM a new way of thinking was created • Domains for future research established

Source: Authors generated

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Figure 1: "The Risk Appetite & Organisational Strategy Model" (TRAOSM)

BOARD

PHASE 1: NORMAL ENVIRONMENT Model
- Minimal board involvement or decision to change strategy
- Strategy changes do not usually require board voting
- No or minimum change to the Business Model
- BCP effectiveness is minimally threatened & BAU achieved

PHASE 2: "THE NEW NORMAL" ENVIRONMENT: Model & required adjustments to "bounce back"
- Heavy presence of board & voting
- Review in risk appetite and organisational strategy & possibly Business Model
- BCP effectiveness is threatened & BAU cannot be achieve
- Business survival threatened

Stage 1 - Executives

BOARD

- BCP strategies/work arounds fail
- Current tolerance levels not achieved
- Issues present with ripple effects
- Tendencies to change risk appetite start
- Span to change strategy is exhausted

Continuous Review of Context & risk

Monitoring & Communication

Uncontrolled Event/ Disruption Crisis/pandemic

WE ARE HERE

Business As Usual BAU)

Scenario analysis 1:
ACTIVATE:
Emergency Management Plans
Crisis Management Plan
Business Continuity Plan/s (BCP)

Scenario analysis 2:
Possible Duration and Impact (360 degree review)

RAS

STRATEGY

CLASH between BCP and the "New Normal" requires attention

Original Risk Appetite: Resistant
Safer option preferred (Smaller appetite)

"New Normal"
Risk Appetite: Accept
(Medium appetite) options based on outcome delivery with a reasonable degree of protection selected

Stage 2 – Board & Executives

80%

Tolerance levels change

Metric: Code of Conduct training

60%

Metric: Code of Conduct training

Board & Senior Management
- Changes to the Business Model
- Constant review of RAS, risk appetite and tolerance levels
- More effort to maintain an optimum level
- Risk aversion crepes in attempt to protect value
- Simulations, financial modelling used more frequently
- Risk register movement & escalations become visible
- New opportunities
- Shrinking credit lines
- New policies
- Corporate Strategy changes

Transition process is required

Address impact:
Financial
Infrastructure
Stakeholders
Internal
processes etc.

Some certainty in recovery time/duration of disruption

Change in Risk Profile due to prolonged uncertainty

Risk Tolerance=80% +15% upper tolerance & - 5% lower tolerance

Risk Tolerance=60% =+2% upper tolerance & - 10% lower tolerance

Lessons Learnt & Document process review

☑ yes

No

ABRIDGED ORGANISATIONAL STRATEGY REQUIRED: Risk appetite, risk tolerances and organisational strategy change to find temporary/permanent balance that enhances a bounce back/ better and broader in turbulent times on a newly established baseline or new model or product. A process that becomes the "new normal" and must be embraced for business survival and business continuity.

Source: Authors generated

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Tables and Figures

Table 1: The Integrative Critical Literature Review Protocol
Figure 1: The Risk Appetite & Organisational Strategy Model (TRAOSM)

Why do firms adopt green innovation? An exploratory literature review and directions for future research

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Why do firms adopt green innovation? An exploratory literature review and directions for future research

Abstract

 Green innovation has recently attracted growing interest from management field due to its potential in achieving sustainability. This paper reviews green innovation studies published in the last two decades in leading journals. First, the review evaluates various definitions and types of green innovation. Second, it identifies three drivers, namely regulatory push/pull, market pull and technology push, and explains why firms adopt green innovation. The role of home-country context and internationalisation in driving green innovation is also highlighted. Third, it describes the challenges and barriers that firms face when they adopt green innovation. This study identifies the gaps in green innovation literature and highlights the need to study motivations for implementing green innovation when firms experience pressures beyond their domestic markets.

Keywords: green innovation, sustainability, internationalisation, emerging markets, literature review

INTRODUCTION

 Innovation is one of the critical elements for business growth associated with rapid economic development and increased globalisation. However, traditional innovation is often coupled with adverse environmental impact (Bossle, Dutra De Barcellos, Vieira & Sauvée, 2016), and the global production chain has contributed to dramatic environmental degradation (Zhu, Cordeiro & Sarkis, 2012). This approach to economic growth is alarming and unsustainable. In response, the concept of green innovation has been proposed as it could balance firms' profitability and environmental responsibilities, ultimately helping them harmonise economic, social, and sustainable development goals simultaneously (Bossel et al., 2016; Li, Huang, Ren, Chen & Ning, 2017). Compared to traditional innovation, green innovation has several characteristics (Chiarvesi, De Marchi & Maria, 2015) that encourage companies to be more mindful of their impact on the natural environment during the innovation process (Liao & Tsai, 2019). To that end, "green innovation can be achieved by companies, encouraged by the government, demanded by society, as a way of contributing to sustainable development" (Bossle et al., 2016, p. 863). Therefore, in this era of environmentalism, promoting green innovation provides win-win opportunities for firms to develop competitive advantage and help society achieve various sustainable development goals (Xiang, Liu, Yang & Zhao, 2020; Karimi Takalo, Sayyadi Tooranloo & Shahabaldini parizi, 2021).

 Literature has discussed various benefits of green innovation. It is argued that green innovation supports the transition to a more closed and circular economy (i.e., circular economy

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model) (Munodawafa & Johl, 2019). Moreover, adopting green innovation practices can help firms fulfil environmental responsibilities, avoid regulation breaches and penalties, and thus increase their survival rate (Yao, Liu, Sheng & Fang., 2019). Firms that adopt green innovation can establish cost leadership and differentiate themselves from competitors, ultimately improving firms' profitability (Aguilera-Caracuel & Ortiz-de-Mandojana, 2013; Díaz-García, González-Moreno & Sáez-Martínez, 2013; Albort-Morant, Leal-Millán & Cepeda-Carrión, 2016; Kawai, Strange & Zucchella, 2018; Zhang & Zhu, 2019). In addition, implementing green innovation could enhance firm performance, boost corporate reputation and image, improve market position, and establish competitive advantages through cost reduction, efficiency improvement and market expansion (Aguilera-Caracuel & Ortiz-de-Mandojana, 2013; Huang & Li, 2017; Tariq, Badir, Tariq & Bhutta, 2017; Karimi Takalo et al., 2021).

Having highlighted some of the key benefits of green innovation, the researchers of this literature review have two objectives. The primary purpose is to review the literature to identify the common attributes of green innovation, including its definitions, types, drivers, benefits, and challenges. The other purpose is to identify potential knowledge gaps amongst the existing literature and discuss opportunities for future research. To select the most appropriate journal articles in the leading journals, the researchers use various keywords that share similar concepts with green innovation, such as "environmental innovation", "eco-innovation", and "sustainable innovation". These terms are interchangeable with no significant variances and often used synonymously with only minor differences (Díaz-García et al., 2015; Bossle et al., 2016; Tariq et al., 2017; Lopes Santos, Valente Rezende & Cruz Basso, 2019), as the common purpose of these terms is to diminish the environmental impact of organisations' innovation process (Díaz-García et al., 2015). This paper reviews 46 peer-reviewed journal articles in leading journals that are published between 2000 to 2021.

This literature review makes several contributions. First, the literature review analyses how regulatory pressure drives firms to implement green innovation and the potential adverse impact. The results could help policymakers to develop more appropriate policies to support firms pursuing more green innovation. Second, it identifies the internal (e.g., technological capabilities and internal resources) and external factors (e.g., regulation and market) that influence firms' decision to adopt

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green innovation are helpful, as they can assist decision-makers in making deliberate judgments based on the firms' conditions. Third, the paper reviews green innovation literature beyond local or national contexts, which provides a better understanding of how firms could deal with cross-border environmental pressures. Finally, reviewing relevant literature provides an overview of the existing research on green innovation and helps identify knowledge gaps. This insight can guide future research directions.

The structure of this literature review is as follows. The first section focuses on the definitions and types of green innovation. The second section discusses various drivers of firms to adopt green innovation, including regulatory push/pull, market pull and technology push. The third section describes the challenges and barriers when firms implement green innovation, including discussing the barriers due to home country context and internationalization. Finally, the last section concludes the literature review with findings and knowledge gaps for future research.

Definitions of green innovation

Although the concept of green innovation is attracting growing interest, a consensus around the definition of the term has not been reached (Hojnik & Ruzzier, 2016). Scholars have suggested two ways to define green innovation: based on the environmental impact or the innovator's intention (Díaz-García et al., 2015). For example, Rennings (2000, p. 322) defined green innovations as 'all measures of relevant actors (firms, politicians, unions, associations, churches, private households), which develop new ideas, behaviours, products, and processes, apply or introduce them […] that contribute to a reduction of environmental burdens or to ecologically specified sustainability targets. The definition focuses on the primary intention of the innovator, and reducing adverse environmental impact needs to be one of them. However, it may be challenging to verify the primary environmental intentions, as they could intertwine with other motivations (Carrillo-Hermosilla, Del Río & Könnölä, 2010).

In contrast, other authors classify any innovation that produces a positive environmental impact as green innovation (Rennings & Rammer, 2011; Horbach, Rammer & Rennings, 2012). For instance, Kemp and Pearson (2007, p.7) defined green innovation as

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The production, assimilation or exploitation of a product, production process, service or management or business method that is novel to the organisation (developing or adopting it) and which results, throughout its life cycle, in a reduction of environmental risk, pollution, and other negative impacts of resources use (including energy use) compared to relevant alternatives.

This definition was most widely used and agreed to be one of the most appropriate definitions of green innovation, as it focuses on how a product or process innovation reduces the environmental impact throughout the life cycle (Hazarika & Zhang, 2019; Horbach et al., 2012). However, a definition that focuses on the outcomes of green innovation also has drawbacks. For instance, it could be challenging to decide the actual environmental impact reduction of the innovation (Carrillo-Hermosilla et al., 2010).

To balance these two ways of defining green innovation and avoid confusion, Carrillo-Hermosilla et al. (2010) suggested that considering the main feature of green innovation is improving environmental performance, regardless of whether it is intentional or not. Moreover, Huang and Li (2017) suggested that green innovation involves setting up strategies to mitigate and restore the adverse environmental effects or decrease resource usage. This definition is worth noting as it expands the green innovation from only reducing the adverse environmental impacts to including the restoration of environmental degradation that has already been done. Further, Carrillo-Hermosilla et al. (2010) stated that green innovation should be novel (i.e., technological or organisational). Similarly, few authors also identified novelty as one of the main characteristics of green innovation, regardless of whether it is incremental or radical (Rennings and Rammer, 2011). However, the green innovation only needs to be novel to the firm that is developing or adopting this innovation (Carrillo-Hermosilla et al., 2010; Rennings & Rmamer, 2011).

Types of green innovation

OECD Oslo Manual (2005) categorises green innovations as product, process, marketing, and organisational innovation. Additionally, Rennings (2000) distinguished green innovation based on its nature as technological, organisational, social, and institutional innovation. In the literature, product and process green innovations are the most discussed (Chang, 2011; Rennings & Rammer, 2011 Qi, Zeng, Tam, Yin & Zou, 2013; Lin, Zeng, Ma, Qi & Tam, 2014; Li et al., 2017; Xie, Huo & Zou,

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2019; Zhang & Zhu, 2019; Karimi Takalo et al., 2021). Green product innovation is defined as "an innovation that leads to design, manufacturing, and marketing or product with no or insignificant effect on human and environment throughout its life phase, and outperform the conventional commonly used competing alternatives, and creates more value in comparing to competing products" (Tariq et al., 2017, p.11). In contrast, green process innovation aims to save energy, reduce waste and pollution, demonstrate a firm's capability to improve its existing process or develop a new process that can reduce adverse environmental impact (Huang & Li, 2017). These two types of green innovation are often intertwined. For example, firms focus more on green product innovation at the early stage of the new technological trajectory and then shift to green process innovation to fine-tune the production line (Tariq et al., 2017; Zhang & Zhu, 2019). However, the extant literature has paid more attention to green product innovation than green process innovation. The asymmetrical attention could be because measuring green product innovation is often more accessible than green process innovation. Overall, the various definitions and types of green innovation share two common characteristics: reduced negative environmental impact and increased resource efficiency (Hojnik & Ruzzier, 2016). These attributes are the main drivers that motivate firms to adopt different types of green innovation. The following section discusses the various drivers of green innovation.

Drivers of green innovation

Amongst existing studies of green innovation, the research about drivers of green innovation is the most predominant field (Cuerva, Triguero-Cano & Córcoles, 2014; Kesidou & Demirel, 2012; Cai & Zhou, 2014; Bossle et al., 2016; Hojnik & Ruzzier, 2016; Tariq et al., 2017). Prior research found that institutional theory, stakeholder theory and resource-based view (RBV) are the most commonly used theories in exploring drivers of green innovation (Hojnik & Ruzzier, 2016; Tariq et al., 2017; Cai & Li, 2018; Hazarika & Zhang, 2019). Institutional theory lens emphasis is on the macro-level pressures that drive firms to adopt green innovation (i.e., coercive, normative and mimetic pressure) from their institutional environment, such as government regulations, social norms and rival's competitiveness (Díaz-García et al., 2015; Bossle et al., 2016; Cai & Li, 2018; Chen, Yi, Zhang & Li, 2018; Kawai et al., 2018; Hazarika & Zhang, 2019; Duque-Grisales, Aguilera-Caracuel, Guerrero-Villegas & García-Sánchez, 2020). In contrast, stakeholder theory and RBV can help focus

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on micro- or firm-level drivers of adopting green innovation (Díaz-García et al., 2015; Hazarika & Zhang, 2019). More specifically, stakeholder theory lens helps to evaluate the effect of firms' internal and external stakeholders on their adoption of green innovation (Tseng, Wang, Chiu, Geng & Lin, 2013; Qi et al., 2013; Lin et al., 2014; Bossle et al., 2016; Hojnik & Ruzzier, 2016; Hazarika & Zhang, 2019; Kawai et al., 2018; Liao & Tsai, 2019; Munodawafa & Johl 2019; Karimi Takalo et al., 2021). RBV has been used to explore how firms' internal resources and capabilities could drive them to implement green innovations to establish and sustain a competitive advantage (Chang, 2011; Cuerva et al., 2014; Lin et al., 2014; Albort-Morant et al., 2016; Cai & Li, 2018; Chen et al., 2018; Liao & Tsai, 2019; Hazarika & Zhang. 2019; Munodawafa & Johl, 2019; Xie et al., 2019; Karimi Takalo et al., 2021).

Green innovation is often understood as a firm's response to external demands; however, recent literature argues that it could originate from within the firm to explore new markets (Cai & Zhou, 2014; Bossle et al., 2016; Lopes Santos et al., 2019; Karimi Takalo et al., 2021). Moreover, based on the features of green innovation, the drivers of adopting green innovation are often multi-layered, such as regulation, cost pressure, competitive advantages, and customer pressure (Díaz-García et al., 2015) and can be determined by the supply side, demand side and institutional and political influences (Horbach 2008; Kesidou & Demirel, 2012; Triguero, Moreno-Mondéjar & Davia, 2013). Combined with the various theories used to explore green innovation, Rennings (2000) proposed a framework that summarised three primary drivers of green innovation: technology push, market pull, and regulatory push/pull.

Insert Figure 1 about here

Regulatory push/pull as a driver of green innovation

Compared to the general innovations, the green innovation literature emphasises how regulatory pressure drives firms to implement green practices (Rennings, 2000; Yalabik & Fairchild, 2011; Rennings & Rammer, 2011; Horbach et al., 2012). The regulation pressure is a critical element to overcome the double-externality problem, as the incentives and pressures generated from demand-pull and technology push of green innovation often not sufficient enough to encourage firms to

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implement green practices (Cainelli, De Marchi & Grandinetti, 2015; Chen et al., 2018; Hazarika & Zhang, 2019; Xiang et al., 2020). Further, the Porter Hypothesis suggests that rigid environmental regulation can push firms to take a more innovative approach to environmental issues and improve their competitive advantages through better resource utilisation efficiency (Porter & van der Linde, 1995). The regulatory pressure is often known as the "regulatory push/pull effect" (Rennings, 2000), and they are an essential element of "coercive pressure" according to the institutional theory (Zhu et al., 2012; Li et al., 2017). These environmental regulations (i.e., laws, rules, industry standards and sanctions) could create a supportive environment for firms to develop greener products and services (Aguilera-Caracuel & Ortiz-de-Mandojana, 2013) and even anticipated environmental regulations and government incentives are expected to impact firms' green innovation decisions significantly (Tariq et al. 2017). Chen et al. (2018) suggested that firms would be more motivated to engage in green innovation when the government imposes administrative and criminal punishments to avoid political and economic costs. Thus, the coercive institutional pressure from regulation could create win-win opportunities by increasing firms' competitiveness, reducing their environmental impact simultaneously, and pushing firms to become greener and implement more environmental management practices (Díaz-García et al., 2015; Borsatto & Amui, 2019). Green innovations respond heavily to national regulations and institutions (Kesidou and Demirel, 2012), meaning the positive environmental impact of green innovation could highly depend on the national context in which firms develop their innovations (Aguilera-Caracuel & Ortiz-de-Mandojana, 2013).

However, regulatory pressure could also encompass international and regional regulations, and firms need to respond to the coercive pressure from both local and international markets (Bossle et al., 2016; Galbreath, 2019; Duque-Grisales et al., 2020). Therefore, firms that operate in more regulated countries would consider environmental issues in their management strategies than those that operate in less regulated countries (Zailani, Govindan, Iranmanesh, Shaharudin & Sia Chong, 2015; Duque-Grisales et al., 2020). For example, international regulatory schemes, such as the 'take-back system', can push firms to reevaluate their environmental management system (Zhu et al., 2012). Additionally, firms in emerging economies are more likely to adopt existing international standards or labels to respond (e.g., International Organisation for Standardisation (ISO) certifications) (Zhang &

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Zhu, 2019; Borsatto & Amui, 2019). Apart from the 'push' pressure of environmental regulations, firms may choose to adopt green innovation to seek benefits from the government, including tax reduction and subsidies (Liao & Tsai, 2019; Liu, Li, Peng & Lee, 2020). For instance, to achieve more sustainable economic growth in China, the Chinese government has provided substantial government R&D subsidies to energy-intensive firms to support their green innovation by absorbing the cost of introducing green technologies and equipment; and thereby reducing the associated risks of green innovation (Bai, Song, Jiao & Yang, 2019; Liu et al., 2020).

It is worth noting that the effectiveness of regulations on driving the adoption of green innovation varies based on the firms' intentions and internal resources. For instance, innovative firms with sufficient resources could sense the possible restrictions from regulations, they would implement green innovation to establish first-mover advantages or enter new markets, and these firms can also set the industrial standards or barriers to entry for potential new entrants (Porter & van der Linde, 1995; Horbach, 2008; Liao & Tsai, 2019). By contrast, the less innovative firms with limited resources would see green innovation as a way to reduce costs and comply with environmental standards (Kesidou & Demirel, 2012). However, previous studies recognised that if countries rely on regulation to push firms to implement green innovation, it might trigger them to adopt defensive environmental strategies, and firms can maintain their competitiveness while doing minimum to embrace green innovations if there are no additional incentives (Lin et al., 2014). Moreover, prior studies found that regulatory stringency positively impacts green innovation adoption in the chemical and pharmaceutical industry, while it does not have the same impact on the food and beverage industry (Zailani et al., 2015). Therefore, the effectiveness of environmental regulations that drive green innovation could vary in different firms and industries.

Market pull as a driver of green innovation

Responding to the market demand is one of the primary drivers for general innovations. Recently, firms are experiencing increased demand from the market to provide eco-friendly products and services (Lin et al., 2014). Prior studies identified that market demand is a crucial driver to implement green practices, improving efficiency and reducing energy usage in the production process (Horbach 2008; Horbach et al., 2012; Tariq et al., 2017; Borsatto & Amui, 2019). The market-pull

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pressure generally arises from various internal and external stakeholders (e.g., suppliers, customers, competitors, employees, and NGOs), and satisfying their demands is essential for the firms' survival (Cai & Li, 2018; Qi et al., 2011; Bossle et al., 2016; Lin et al., 2014). Bossle et al. (2016) stated that it is vital for companies to include all stakeholders when they choose to implement any green innovation strategies. Therefore, one primary motivation for firms to adopt green innovations practices is to get recognised by various stakeholders (Li et al., 2017).

Stakeholder theory suggests that stakeholders are the foundation of a firm's long-term survival, and firms need to put in much effort to satisfy various stakeholders' demands to keep their businesses continuously succeeding (Lin et al., 2014; Liao & Tsai, 2019). In addition, the green market demand is an essential driver for firms to initiate green innovations (Kesidou & Demirel, 2012; Lin et al., 2014; Zailani et al., 2015; Tariq et al., 2017). Notably, when the number of environmentally conscious customers is growing, green attributes of the products or services become the most critical determinant in making their purchasing decisions (Zhang & Zhu, 2019). Moreover, once firms can deliver added value to customers through green innovations, it will increase their willingness to pay the premium price for environmentally friendly products and services (Horbach et al., 2012). Thus, on the one hand, consumers' growing environmental concerns can push companies to adjust their environmental strategies; on the other hand, firms build green image to improve their legitimacy, and consider customers' requirements and closely coordinate and exchange information with them to affect their purchasing behaviour in favour of green products (Liao & Tsai, 2019; Zhang & Zhu, 2019). However, some firms only undertake minimum green innovation activities to ease the pressure from stakeholders and do not commit extensive resources to green innovation (Kesidou & Demirel, 2012).

Other stakeholder groups can exert pressure on firms' green innovation activities. For example, due to their increasing awareness, suppliers can exercise their power and motivate firms to adopt environmental-friendly practices (Lin et al., 2014; Tseng et al., 2013). Additionally, social actors like NGOs and community groups could also generate substantial pressure to push firms to implement more green practices (Kawai et al., 2018). Moreover, previous studies found that competition could also drive firms to reduce emissions by adopting green innovation (Lin et al.,

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2014), especially when there is sufficient pressure from customers to switch to firms' rivals due to environmental concerns (Yalabik & Fairchild, 2011). Based on institutional theory, when firms operate in foreign markets, they could imitate their competitors' green behaviours to gain legitimacy due to market uncertainty (Chen et al., 2018; Duque-Grisales et al., 2020). However, the impact of competitors on driving green innovation also varies. For example, in emerging markets like China, due to the high uncertainty caused by the unique domestic market conditions, competitors do not significantly impact firms' green innovation strategies (Lin et al., 2014).

Technology push as a driver of green innovation

Technology push is one of the main drivers for any innovations (Rennings, 2000; Horbach, 2008; Rennings & Rammer, 2011; Cai & Zhou, 2014; Díaz-García et al., 2015; Hojnik & Ruzzier, 2016; Liao & Tsai, 2019). However, the green innovation literature that discusses technology push is scarce, although technological and innovative capabilities are critical in driving green innovation (Kesidou & Demirel, 2012; Cainelli et al., 2015; Tariq et al., 2017). The technology push of green innovation depends on the firm's internal resources and technological capabilities (Rennings, 2000; Horbach et al., 2012; Cai & Zhou, 2014; Cainelli et al., 2015; Hazarika & Zhang, 2019). Technological capabilities can be defined as the aspects that allow firms to initiate innovative competence to gain competitive advantages, which comprise the physical ability and knowledge capital stock (Cai & Zhou, 2014; Tariq et al., 2017). Based on the general innovation theory, firms with more technological innovation capabilities comprise adequate physical and knowledge capital stock by developing new products or services, inducing further innovations (Horbach, 2008; Cai & Zhou, 2014; Díaz-García et al., 2015). As a result, these firms with higher technological capabilities commonly outperform their competitors. Similarly, prior studies based on RBV (Barney, 1991) stated that firms could effectively generate sustainable competitive advantages by allocating rare, valuable, imperfectly imitable, and non-substitutable resources (Lin et al., 2014; Liao & Tsai, 2019).

Few authors suggested that resource is one of the fundamental factors influencing green innovation as firms require extensive and abundant resources (i.e., human resources, capital, material, and techniques) to promote green innovation (Cainelli et al., 2015; Galbreath, 2019; Lin et al., 2014;). Furthermore, by analysing 1556 UK firms, Kesidou and Demirel (2012) identified the importance of

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organisational capabilities to green innovation, and the internal resources play a crucial role in firms'
decisions to implement green innovation activities and how to allocate resources to these activities.

Among various internal resources, Cuerva et al. (2014) identified that firms' internal
knowledge resources, human resources, and access to finance are critical drivers to green innovation
as they can trigger the technology push of green innovation. Additionally, Tseng et al. (2013)
suggested that one of the main drivers to adopting green innovation is senior management's
awareness and support. Galbreath (2019) identified that human capital (i.e., leadership characteristics)
and absorptive capacity as two of the most critical elements for successful green innovation. Through
dealing with customers, government authorities, suppliers and other external actors in the markets,
firms can gain substantial knowledge in the process; however, how the firms can capitalise on this
knowledge depends on their level of absorptive capability (Díaz-García et al., 2015; Albort-Morant,
Leal-Rodríguez & De Marchi, 2018). Thus, green innovation becomes a win-win strategy when a firm
integrates internal and external resources, and knowledge is applied systematically, consciously and
strategically (Bossle et al., 2016). Therefore, when firms acquire advanced technological capabilities
and obtain abundant resources, combined with external factors, it could push them to adopt more
green innovation practices.

Green innovation implementation challenges and barriers

Several studies analysed the challenges and barriers that prevent firms from adopting green
innovations (Ociepa-Kubicka & Pachura, 2017; Karimi Takalo et al., 2020; Gohoungodji, N'Dri,
Latulippe & Matos, 2020; Abdullah, Zailani, Iranmanesh & Jayaraman, 2021). Prior studies
identified: inadequate government support, limited availability of resources, difficulties collecting
data, lack of knowledge by employees and customers, lack of risk-taking in the organisation,
insufficient understanding of green practices, and increased cost as challenges that may prevent firms
from adopting green innovations (Cainelli et al., 2015; Ociepa-Kubicka & Pachura, 2017; Karimi
Takalo et al., 2021; Abdullah et al., 2021). In addition, firms commonly lack internal resources (i.e.,
technologies and human resources) and have difficulties accessing finance to support any green
innovation investment (Ociepa-Kubicka & Pachura, 2017; Gohoungodji et al., 2020). Amongst
various factors that hinder firms from adopting green innovation, financial constraint is one of the

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prevailing challenges for many firms, especially for firms with limited resources (e.g., SMEs) (Cainelli et al., 2015; Abdullah et al., 2016; Ociepa-Kubicka & Pachura, 2017; Gohoungodji et al., 2020). The substantial upfront technological investment costs and modification costs to existing supply chain networks indicate increased production costs and reduced profit margins, which negatively impact firms' performance and discourage them from adopting green practices (Yao et al., 2019; Gohoungodji et al., 2020). Moreover, adopting green technologies could impose higher costs and risks for producers without generating additional profit, and the low return on investment and low profitability also prevent firms from adopting green innovation (Rennings & Ramer, 2011; Cai & Li, 2018; Gohoungodji et al., 2020).

In addition to this, Kawai et al. (2018) discuss challenges when firms implement green innovation, including uncertain costs and return, disadvantageous competition from unsustainable rivals, initial reluctance from customers, and inability to capture the innovation benefits. Moreover, the newly established green ventures and firms are incredibly vulnerable because they are usually funded with government subsidies and continuously rely on these funds to survive (Aguilera-Caracuel & Ortiz-de-Mandojana, 2013). Horbach (2008) suggested that firms might not realise the potentials (e.g., cost savings) of green innovations as they are still inexperienced in dealing with environmental issues and their incompetence of information, organisational and coordination problems. For instance, few authors stated that firms could experience internal resistance from their managers, employees or other stakeholders when adopting green innovation due to their incapability to appropriate its value (Gohoungodji et al., 2020).

Moreover, green innovation often causes the issue of the "double externalities problems'" or "dual externalities problems" (Díaz-García et al., 2015; Cainelli et al., 2015; Hojnik & Ruzzier, 2016; Bai et al., 2019; Hazarika & Zhang, 2019; Xiang et al., 2020). Rennings (2000) suggested that the "dual externality problem", in which the innovations produce positive spillovers (i.e., environmental spillover) in both the innovation and diffusion phase. The issue of the positive spillovers is that even though it can create a lot of 'social good', firms will unlikely to receive any compensation and return in the free markets, which reduces the firms' motivation to engage in more green innovations (Rennings, 2000; Cainelli et al., 2015; Liu et al., 2020). Furthermore, Zhang and Zhu (2019) stated

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that firms might not pursue green innovations voluntarily due to the externalities and risks, and these firms cannot fully appropriate the value of green innovation as a type of public good.

Home country context and internationalization

Different country contexts could also impose various obstacles to firms that choose to adopt green innovations, as the challenges and barriers that firms encounter vary across countries (Ociepa-Kubicka & Pachura, 2017). However, the cross-country analyses of barriers to green innovation implementation are scarce (Triguero et al., 2013). For example, emerging markets' characteristics (e.g., price-sensitive consumers, low consumer acceptance, insufficient access to information, inadequate governmental support, high opportunity cost, and tight financial constraint) could deter the adoption of green innovation by firms (Yao et al., 2019). Similarly, the lower labour costs, higher labour productivity, insufficient environmental regulations, flawed industrial policies, lack of environmental awareness, and inadequate governmental support in emerging economies can also curb the benefits of green innovation (Díaz-García et al., 2015). Moreover, although the number of environmentally sensitive customers in the emerging economies is growing, the acceptance of green products and services is still low due to the higher price point and lack of environmental education (Ociepa-Kubicka & Pachura, 2017). Bossle et al. (2016) stated that in these markets, the significant financial investment, constant changes in technology and lack of environmental awareness in consumers, green innovation can indicate a high uncertainty level.

Furthermore, for the firms involved in international operations, the legislation and laws in different countries also pose challenges to implementing green innovation. The main challenges related to laws and regulations include the inappropriateness of legislation regarding technologies, disparity and complexity of legislation in different countries, gaps in government policies and regulations (Gohoungodji et al., 2020). Additionally, as the regulatory pressure varies across different industries, the type of industries (i.e., dirty industries with high-level emissions versus clean industries with low emissions) could further complicate the challenges when firms choose to adopt green innovation (Yalabik & Fairchild, 2011). Therefore, it requires managers to make deliberate decisions of adopting green innovations based on the firms' capacity and institutional context.

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CONCLUSION

Through reviewing relevant literature, there is clear evidence that green innovation is gaining more interest amongst scholars and managers. However, there are several gaps in extant research. Even though there is a sufficient amount of literature discussing how market demand drives the firms' adoption of green innovation, most of them are not considering the prevailing social norms and values in all the markets they operate. Remarkably, for firms operating in international markets, firms' actions are determined not only by their objectives but also by the institutional environment, including formal policies and laws set by the regulatory authorities and informal rules (i.e., shared values, beliefs, and social norms) (Kawai et al., 2019). These informal rules are deeply rooted within society and are independent of the legal system, which decides the acceptable corporate standards and behaviours of a country (Aguilera-Caracuel & Ortiz-de-Mandojana, 2013). Therefore, future research on green innovation should consider the other institutional pressure (i.e., normative pressure) and its impact on driving firms' green innovation strategies.

Secondly, the studies which investigate cross-border pressures that drive firms' green innovation are lacking. The extant green innovation literature is mainly focused on a single local or national context. As globalisation intensifies, firms that operate in international markets could be expected to face external pressure beyond their local borders, which requires them to adapt to those regulations, social norms, values, and ethical standards in addition to their domestic markets (Galbreath, 2019). Furthermore, when firms operate in various foreign markets, how firms deal with the pressure beyond their domestic markets is unclear.

Thirdly, the research about green product innovation is much more than the green process innovation, and this gap provides a good direction for future study. Notably, scholars could conduct extensive case studies on firms' adoption of green process innovation.

Lastly, the firms' internal resources and technological capabilities (i.e., technology push) that drives the implementation of green innovation receives the least attention in the extant literature. Several authors have highlighted the importance of the supply-side and internal factors that drive firms to implement green innovation (Horbach et al., 2012; Triguero et al., 2013). Therefore, future

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studies should explore the technological push factors of green innovation and identify the main

differences.

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Figure 1. Conceptual framework of green innovation literatures
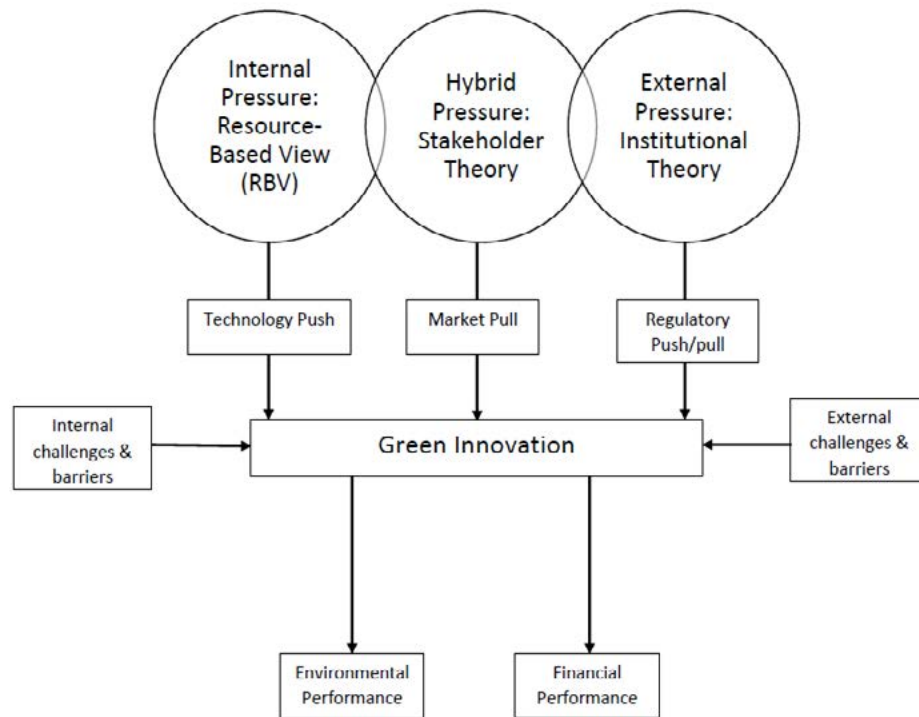
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Stream 5: Entrepreneurship and SMEs

Entrepreneurial orientation and export performance of SMEs in emerging markets: Towards a causal model of ambidextrous learning and networking

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Stream 5: Entrepreneurship and SMEs

ENTREPRENEURIAL ORIENTATION AND EXPORT PERFORMANCE OF SMES IN EMERGING MARKETS: TOWARDS A CAUSAL MODEL OF AMBIDEXTROUS LEARNING AND NETWORKING
ABSTRACT

What is the right mix of entrepreneurial orientation dimensions that enhances SME export performance? This article extends the knowledge about the concepts of entrepreneurial orientation, export performance, learning, networking, and Ambidexterity theory to the context of SMEs operating in emerging markets. It identifies two learning types—experiential and vicarious learning—and networking mechanisms—formal and informal networking—to propose how they can enhance the entrepreneurial orientation to lead to a superior export performance in SMEs. Based on the Ambidexterity theory, we conceptualize a model and likely outcomes. We conclude by emphasizing that both learning and networking practices are necessary but not equally in achieving improved export performance in SMEs in emerging markets while identifying the need for a precise blend of entrepreneurial orientation dimensions.

Key Words: Entrepreneurial Orientation, Learning, Networking, Ambidexterity, SMEs, Emerging Markets.

BACKGROUND OF THE STUDY

Entrepreneurial orientation is a vibrant topic among Entrepreneurship scholars (Covin & Wales, 2018; Hughes & Morgan, 2007; Lumpkin & Dess, 1996); and those who study *Small and Medium Enterprises (SMEs)* (Dadzie, Agyapong, & Suglo, 2021; Karami, Ojala, & Saarenketo, 2020; Karami & Tang, 2019; Keh, Nguyen, & Ng, 2007). The entrepreneurial orientation crossed over from conventional entrepreneurship and strategy domains to areas such as international business (Covin & Wales, 2018; Knight, 2000), where it has acquired a pace mainly (Acosta, Crespo, & Agudo, 2018; Hernandez-Perlines, 2018). Entrepreneurial orientation in the international context can be demarcated as finding, validation, appraisal, and exploitation of opportunities across national boundaries to generate and capture value (Wales, Gupta, Marino, & Shirokova, 2019 ; Karami & Tang, 2019). Thus, engaging in international business is also an entrepreneurial act (Knight & Cavusgil, 2004; Nummela, Vissak, & Francioni, 2020) can be regarded as an act of opportunity development (Jones, Coviello, & Tang, 2011).

However, traditionally, the literature on entrepreneurial orientation has centred chiefly on advanced Western economies and China (Rauch, Wiklund, Lumpkin, & Frese, 2009) and focused on large multinational corporations (Gupta & Batra, 2016; Martins, Lucato, Vils, & Serra, 2020; Riviere & Romero-Martínez, 2021). Accordingly, the

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generalizability of the findings of those studies to the SME context is insufficient (Aloulou & Fayolle, 2005; Anwar & Shah, 2021). In the recent two decades, with the rise of emerging economies, the importance of studying such contexts where SMEs play an essential role in the economy's growth (Gupta & Batra, 2016; Puthusserry, Khan, Knight, & Miller, 2020). Therefore, how entrepreneurial orientation and other factors can help the export performance of SMEs in emerging market contexts deserves research attention.

Lumpkin and Dess (1996) identified five dimensions of Entrepreneurial orientation—i.e., innovativeness, risk-taking, proactiveness, competitive aggressiveness and, autonomy and since then, scholars have repeatedly sought out that entrepreneurial orientation positively associated with firm performance (Azmi, 2020; Calabrò, Santulli, Torchia, & Gallucci; Galbreath, Lucianetti, Thomas, & Tisch, 2020; Gerschewski, Scott-Kennel, & Rose, 2020; Hernández-Perlines, Covin, & Ribeiro-Soriano, 2021; Rauch et al., 2009; Singh, Darwish, & Potočnik, 2016). Providing exemptions to this, scholars have affirmed that firms with excessive entrepreneurial orientation are not always associated with successful performance (Hughes & Morgan, 2007; Karami & Tang, 2019; W. J. Wales, 2016). This controversy has been deepened by the uni-dimensional construct used by the scholars in measuring entrepreneurial orientation, and neglecting the differential impact that each dimension has on firm performance. Based on the argument made by Lumpkin and Dess (1996)—each dimension can vary independently— we emphasize that SMEs operating in emerging markets face resource limitations (Desouza & Awazu, 2006; Markovic et al., 2021) and due to the uniqueness of emerging market context (Anwar & Shah, 2021) hence, not in a position to maintain or need high levels of entrepreneurial orientation dimensions at their maximum levels. Thus, emerging market SMEs need to firms should find the precise blend of entrepreneurial orientation dimensions to be practiced as these firms.

This study attempts to conceptualize the potential factors and mechanisms through which entrepreneurial orientation influences the export performance of SMEs, especially in the emerging market context. In doing so, we have identified that entrepreneurial orientation is not the sole factor that can guarantee high performance (Pett & Wolff, 2016). *Learning* (Brettel & Rottenberger, 2013; Dadzie et al., 2021; Lee, Jiménez, & Devinney, 2020; Puthusserry et al., 2020) and *networking* (Lin,

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Cao, & Cottam, 2020; Puthusserry et al., 2020; Ramachandran & Ramnarayan, 1993) are identified as the most influential factors that lead to successful internationalization. Further, we propose that two types of learning—experiential and vicarious learning and two types of networking —formal and informal networking are essential in improving the entrepreneurial orientation and performance relationship. In this article, we theorize how these learning and networking types indirectly relate with the strategic stance of entrepreneurial orientation in improving the export performance of SMEs originating in emerging markets.

The paper is structured as follows; first, we attempt to understand the importance of finding the precise blend of entrepreneurial orientation dimensions to enhance export performance in SMEs from emerging markets. Second, we argue that two types of learning and networking are essential, but not in an equal manner. So we emphasize finding the right balance between two aspects of learning and networking using *Ambidexterity theory*. Finally, we attempt to propose a way to find these expectations by building up a conceptual model of ambidextrous learning and networking. We conclude by highlighting our contributions offering suggestions for future research and how to apply our conceptual model.

THEORETICAL FOUNDATION

Entrepreneurial Orientation and SME Export Performance

Entrepreneurial orientation has been defined as a process— including the strategies used, activities carried on, managerial practices, and decision-making approaches—that help the firm act entrepreneurially (Lumpkin & Dess, 1996). With the expansion of entrepreneurship literature, the firm-level entrepreneurship behavior was considered a significant aspect; per se, entrepreneurial orientation reflects that fashion (Avlonitis & Salavou, 2007). Five dimensions of entrepreneurial orientation can be identified as —innovativeness, risk-taking, and proactiveness (Miller, 1983), competitive aggressiveness, and autonomy (Lumpkin & Dess, 1996). The definitions of each dimension demonstrate in Table 1.

Insert Table 1 about here

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The combinations of entrepreneurial orientation dimensions may generate an entrepreneurial behavior higher in order at the firm level (Jin, Jung, & Jeong, 2018; Rauch et al., 2009). Entrepreneurial orientation levels that firms tend to engage in innovations that lead to creating new products and services explore new opportunities and markets, taking risks may determine how the success of performance would be in the international markets (Jin et al., 2018; Lumpkin & Dess, 1996; Miller, 1983). This conception is on par with the idea that innovative and proactive companies take first-mover advantages by focusing on customers and providing them with superior offerings (Gautam, 2016; Haider, Asad, & Fatima, 2017; Przychodzen, Leyva-de la Hiz, & Przychodzen, 2020). Thus, the fact that entrepreneurial orientation explains the variations in firm performance is distinct (Basco, Hernández-Perlines, & Rodríguez-García, 2020; Galbreath et al., 2020). Some of the past studies provide evidence that these entrepreneurial orientation dimensions must co-vary positively (Covin & Wales, 2012; Miller, 1983), while some other studies elaborate that those dimensions play different independent roles (Jin et al., 2018; Lumpkin & Dess, 1996). This study also adopts the latter approach as it is essential to consider each entrepreneurial orientation dimension's effect on performance.

It is mainly imprecise how these five dimensions individually affect the firm performance (Hughes & Morgan, 2007). Miller (1983) explained that high levels of all three dimensions of entrepreneurial orientation (innovativeness, risk-taking, and proactiveness) are required to be practiced in firms, while Lumpkin and Dess (1996) added competitive aggressiveness and autonomy to the list. In addition, unidimensional entrepreneurial orientation introduced by Covin and Slevin (1989) and Miller (1983) implies that only firms demonstrating high levels of entrepreneurial orientation dimensions should be recognized as entrepreneurial, and therefore, it is too narrowly defined. Scholars counter-argued that entrepreneurial orientation dimensions may vary independently depending on the context (Han & Zhang, 2021; Hughes & Morgan, 2007; Jin et al., 2018; Lumpkin & Dess, 1996). Further clarifying the argument of entrepreneurial orientation as a multi-dimensional, independently varying construct, in this paper, we posit that high levels of all the entrepreneurial orientation dimensions at equal levels are not necessary to explain the improved performance of SMEs engaged in exporting, especially in emerging markets. Resources are restricted in those firms

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(Desouza & Awazu, 2006; Wu & Deng, 2020), and therefore, these entrepreneurial orientation dimensions may be utilized in different means. For example, due to the resources confines and uncertain and less-stable market conditions prevailing in emerging markets (Anwar & Shah, 2021), SMEs cannot maintain high levels of innovativeness. A firm to be updated in the field rather than moving forward may use *replication* (Ng & Kee, 2018; Sternberg, Pretz, & Kaufman, 2003), as a strategy to bring novelty to their business which does not require the focal firm to be a highly innovative and taking-much risk of committing resources on research, and development activities. But still, they may be proactive if they make sure that they come to the market as early as possible and also they may be taking risks if they commit capital on plant and equipment to engage in production (Lumpkin & Dess, 1996) and, crossing borders which inherently a risky activity (Falahat, Knight, & Alon, 2018). As suggested above—replication as being innovative—can be considered entrepreneurial if that action indicates a head-to-head confrontation and counter-moves with the competitors (Dagnino, Picone, & Ferrigno, 2021). Therefore, competitive aggressiveness may be reactive or proactive (Lumpkin & Dess, 1996; Moen, 1999). A firm that operates in an emerging market with resource constraints can be competitive by adopting non-conventional competing methods such as distribution or marketing (Zellweger & Sieger, 2012). However, scholars have argued that in some contexts, competitive aggressiveness takes low relevance as many firms focus and control factors such as value and profitability rather than direct challenging competitors (Zellweger & Sieger, 2012) due to the high resource consumption to maintain that behavior (Covin & Covin, 1990). Autonomy is a vital driver of flexibility— which is an essential characteristic of entrepreneurial firms—because it helps firms be innovative and proactive by enabling firms to react to market changes (Hughes & Morgan, 2007). Thus, autonomy is advantageous in improving firm performance. Accordingly, understanding the precise blend of entrepreneurial orientation dimensions to enhance export performance in SMEs in emerging markets is vital. Therefore, we propose that;

Proposition 1: The entrepreneurial orientation dimensions—innovativeness, risk-taking, proactiveness, competitive aggressiveness and autonomy — of SMEs in emerging markets

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may vary independently while positively associated with export performance.

Ambidexterity Theory

Effective organizations must balance internal tensions and competing expectations in their task settings to be ambidextrous (Floyd & Lane, 2000; Levinthal & March, 1993; Raisch & Birkinshaw, 2008) while still responding to changes setting (Duncan, 1976). Organizational ambidexterity is concerned with an organization's ability to equilibrate two contradictory issues simultaneously: exploitation and exploration, but also productivity and versatility, low cost and consumer responsiveness, global integration and local responsiveness, stability and flexibility, and short-term benefit and long-term growth (Luo & Rui, 2009). Researchers have recognized that exploitation and exploration involve conflicting information mechanisms, either directly or indirectly (Floyd & Lane, 2000). As a consequence, trade-offs must always be made. While these trade-offs can never be entirely removed, the most influential companies can balance them to a great extent, enhancing their long-term success in the process (Gibson & Birkinshaw, 2004). Further, Raisch and Birkinshaw (2008) ascribe that, although prior studies interpreted these trade-offs as unsolvable, more recent research has provided many organizational strategies to promote ambidexterity (Adler, Goldoftas, & Levine, 1999; Tushman & O'Reilly III, 1996). Simply, it is essential to maintain a balance between seemingly conflicting tensions.

Although researchers have shown that being ambidextrous is more difficult for SMEs than large firms, most studies are carried out in large firms (Cao, Gedajlovic, & Zhang, 2009; Soto-Acosta, Popa, & Martinez-Conesa, 2018). Due to the substantial resource constraints in SMEs compared to large firms, findings based on large firms are not appropriate for the SME context (Soto-Acosta et al., 2018). Acknowledging that more research needs to be carried out on ambidexterity in SMEs, we use the Ambidexterity theory as the theoretical underpinning of this study to justify using both learning types and networking types involved in this study.

Organizational Learning and Export Performance

Organizational learning has been conceptualized as a business organization's commitment to knowledge creation, retention, and utilization (Argote, McEvily, & Reagans, 2003). When

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considering the internationalized environment, even though SMEs' owners possess some domain-specific knowledge, it is generally insufficient to sustain and grow in the international market (Posen & Chen, 2013). SMEs can adopt two types of learning as a solution —experiential and vicarious learning.

When an organization acquires new knowledge by directly experiencing a task, it is referred to as experiential learning (Lewis & Williams, 1994). Experiential learning is essential in the international context due to the high volatility in this setting caused by a lack of knowledge in foreign markets (Baum, Li, & Usher, 2000); generating market-specific knowledge helps gain a competitive advantage (Schwens, Zapkau, Brouthers, & Hollender, 2018). However, the expertise gained through experiential learning is not replicable to other markets because different markets have their quirks (Eriksson, Johanson, Majkgård, & Sharma, 2015). Organizations also learn vicariously by watching other actors and inferring lessons to inform their endeavors instead of first-hand knowledge (Bresman, 2013). Organizations selectively attend to behaviors with similar or active peers (Haunschild & Miner, 1997) to duplicate their results, which shortens the learning period (Baum et al., 2000). SMEs, in particular, who lack the resources to conduct research, benefit from vicarious learning (Desouza & Awazu, 2006).

Studies claim that firms operating in an internationalized environment use experiential learning (Holcomb, Ireland, Holmes Jr, & Hitt, 2009). Further, they shape their behaviors with the lessons learned from past experiences (Argote, 2012). On the other hand, some others argue that SMEs learn vicariously from other firms in their industry, leveraging successful firms' best practices (Ali et al., 2020) due to the lack of resources (Desouza & Awazu, 2006). Furthermore, many empirical studies support the notion that experiential learning positively impacts firm performance (Karami & Tang, 2019). Nonetheless, experiential learning can also harm performance. Levitt and March (1988); Leonard-Barton (1990) argued that 'competency traps' that arise through continued expertise with familiar and comfort zones make it difficult for firms to adjust to emerging technologies. Levinthal and March (1993) described this point as *myopia* that misleads the firm to consider only the

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short-run and success lessons by avoiding many potentially valuable information sources. Accordingly, the impact experiential learning has on the entrepreneurial orientation and performance relationship may either be positive or negative.

Like experiential learning, vicarious learning has also drawn the business world's interest due to the perception that it improves the competitive advantage of businesses and operational productivity (Ali et al., 2020). Vicarious learning is also essential for firms when more information is available, and multiple areas are needed to consult to get first-hand experience. Another vicarious learning application can be seen in the firms operating internationally, where cultures, societies, regulatory frameworks, and economic factors vary from the home country (Ali et al., 2020). Firms gradually utilize vicarious learning to reproduce the best practices, strategies, and effective organizational designs (Ali et al., 2020). However, vicarious learning also can harm the performance of the organization due to its drawbacks. There is a danger of misusing vicarious learning because it has an unobserved aspect that needs to be filled with inferential thinking based on the learning organization's experiences. Therefore, this superstitious learning can be problematic (Levitt & March, 1988), especially when learning organizations may concentrate predominantly on successful cases, which may under-sample the actual population. However, many of the studies have neglected studying vicarious learning in business compared to experiential learning. However, a handful of studies conducted in emerging contexts such as Malaysia (Arnold & Quelch, 1998), Saudi Arabia (Ali et al., 2020) revealed that vicarious learning is positively related to firm performance. Therefore, engaging in both learning types — experiential or vicarious — is essential for SMEs operating in an internationalized environment in an emerging context, and balancing both types of learning is unexplored in the current literature.

Based on Ambidexterity theory, we argue that due to the benefits and drawbacks that each learning type brings to the firm, both of these learning types—experiential and vicarious learning—are important for SMEs operating in an emerging market. Due to the resource limitations faced by such firms, they must decide upon the precise blend to be practiced between these two learning practices to enhance entrepreneurial orientation and performance. Therefore, we propose the following preposition;

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Proposition 2: In addition to finding the right mix of the EO dimensions, SMEs originating from emerging markets will need to balance experiential and vicarious learning practices to enhance their export performance.

Networking and Export Performance

The success or failure of firms now appears to be determined by their commercial relations (Ivanova-Gongne & Torkkeli, 2018). The deliberately formed (Kingsley & Malecki, 2004); (Thorgren, Wincent, & Örtqvist, 2009) connections between other business entities such as consumers, distributors, suppliers, rivals, and governments which control business exercises describe formal networks (Forsgren & Johanson, 1992). Informal networks are 'networks developed from personal relationships' (Vasilchenko & Morrish, 2011, p. 90). According to the network perspective, internationalization is no longer about overcoming the liability of foreignness; instead, it is about overcoming the liability of outsidership (trust and rapport building) from associated networks (Karami & Tang, 2019)— which means hurdles for internationalization can be overcome through having networks with other entities in local and foreign markets.

While entrepreneurial orientation makes it easier to explore new opportunities to boost firm performance, adopting an entrepreneurial orientation increasingly demands more resources and knowledge (Kreiser, 2011). Dynamic environments, rapid technological advancement, shrinking life cycles, and international competition have made new knowledge acquisition and knowledge management essential for maintaining a competitive edge (Nonaka & Takeuchi, 2007). Due to the SMEs' constrained capacity and lack of international market entry experience, networking capability has been considered crucial in SMEs' internationalization process (Galkina & Chetty, 2015). Several scholars have argued that networks play a significant role in shaping entrepreneurial processes and outcomes (Hoang & Antoncic, 2003). According to Stevenson and Jarillo (2007), the ability to identify, seek, and exploit business opportunities that arise in the market without regard to the resources in hand is the essence of entrepreneurship. However, not all entrepreneurs have the expertise and resources to take advantage of these opportunities. To gain access to resources and markets,

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they need to collaborate with market players (Zain & Ng, 2006). Since it provides access to power, intelligence, expertise, technology, and finance, the network, while lessening the failure risk in overseas markets (Chen & Jaw, 2014), is considered a crucial asset (Elfring & Hulsink, 2003; Inkpen & Tsang, 2005).

However, scholars argue that networks are like two-edged swords that limit and impede firms' information acquisition (e.g., Karami et al., 2020; Yamin & Kurt, 2018) and, therefore, further internationalization, referred to as network *duality* (Yamin & Kurt, 2018). Further, it has been proposed that having a broad network of connections slows down internationalization (Nummela, Saarenketo, & Puumalainen, 2004) and also requires firms to devote resources to maintain those networks. Nonetheless, the significance of networking in the sense of SMEs' knowledge acquisition and learning is still undervalued. This lack of constancy among previous studies' results paves the path to include this aspect in the current research.

In this study, we have included two networking types that demand the limited resources in the firm and bring both pros and cons to the firm. As we argued in learning, using Ambidexterity theory, we built up an argument that due to the benefits and drawbacks that each networking type brings to the firm, both of these networking types—formal and informal networking—are important for the SMEs which are operating in an emerging market. Due to the resource limitations that those firms face, they must decide upon the precise blend between these two networking practices to enhance performance through entrepreneurial orientation. Therefore, we propose that entrepreneurial orientation increases the export performance of SMEs through formal and informal networking practices, and firms must balance these two aspects. Accordingly, we conceptualize that;

Proposition 3: In addition to finding the right mix of the EO dimensions, SMEs originating from emerging markets will need to balance formal networking and informal networking practices to enhance their export performance.

TOWARDS A CAUSAL MODEL OF AMBIDEXTROUS LEARNING AND NETWORKING

A conceptual model is developed based on the prepositions mentioned above, including the constructs entrepreneurial orientation, export performance, experiential learning, vicarious learning, formal networking, and informal networking.

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Insert Figure 1 about here

The firms in emerging economies need to place a greater emphasis on behaving entrepreneurially by engaging in the right mix of (i.e., innovative, proactive, and risk-taking, competitively aggressive, and autonomous) behaviors to acquire competitive advantage (Zhao, Li, Lee, & Bo Chen, 2011). Entrepreneurial orientation can help SMEs to make decisions on market opportunities. Further, relevant decision-makers gather information on prospective opportunities [through networking with other actors] and translate gathered information into new knowledge (i.e., learning) (Pett & Wolff, 2016; Vora, Vora, & Polley, 2012). In terms of learning, our model articulates the idea that experiential learning and vicarious learning and, formal and informal networking will improve the entrepreneurial orientation-performance relationship. However, it also raises practical questions from SME managers who must decide how much importance to be given to each type of learning and networking. SMEs in emerging economies face resource limitations (Degong, Ullah, Khattak, & Anwar, 2018), and therefore, they may not engage in experiential learning as it consumes more time and resources and high risk (Hitt, Li, & Worthington, 2005) and instead; they may choose to learn vicariously from others' experience primarily. However, because experiential learning generates competitive advantage and since entrepreneurial firms are proactive and innovative, they are likely to engage in experiential learning in a novel manner. In fact, a firm can choose both learning options to get the benefits of both learning types while minimizing the adverse effects. E.g., tiny incremental innovation (experiential learning) in a replicated product (vicarious learning). However, the choice of to what extent the firm selects these learning options depends on the firm resources and the context that the focal firm operates in. In the same manner, firms should choose the networking type to be adopted since they have to commit resources to maintain the networks. Depending on the benefits and costs that networks bring to the firm and resource availability, and the firm's context, firms may decide upon which network types to maintain and to what extent. Therefore, we conceptualize that additional factors such as learning and networking may work with entrepreneurial orientation

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to improve performance. In our model, we expect that both learning types —experiential and vicarious learning —and both networking types—formal and informal networking— will positively mediate the entrepreneurial orientation and export performance relationship in SMEs operating in emerging markets. However, our model also raises the possibility that both learning and networking types may not be equally important at the same time.

CONTRIBUTION AND CONCLUSION

The contribution of this paper is manifold. First, this research paves the path for future empirical research, which concerns the role of both learning and networking types in improving entrepreneurial orientation and export performance relationships in emerging market SMEs. Second, this study employs an ambidexterity view to highlight the need to balance the two learning and two networking practices in SMEs, while the model suggests firms engage in both contrasting practices simultaneously. It raises the notion that both may be important but in different ways and extents. The causal model can be tested by conducting an empirical study in SMEs operating in an emerging market like Sri Lanka, which has a unique developmental history and economic growth. Finally, this study theoretically and practically contributes to the literature, as shown in Table 2.

Insert Table 2 about here

In conclusion, the impact of entrepreneurial orientation on export performance is still inadequately researched. Hence, much research needs to be carried out in different contexts with different variables to help to theorize entrepreneurial orientation research. Since the effect of entrepreneurial orientation dimensions may vary depending on the context it applies, this research, therefore, proposes that the entrepreneurial orientation dimensions vary independently and positively associated with export performance in SMEs operating in emerging markets. Further, the relationship between entrepreneurial orientation is enhanced through learning (experiential learning and vicarious learning) and networking (formal networking and informal networking). The study further suggests that the precise blend of those variables can be investigated in empirical research using the proposed model.

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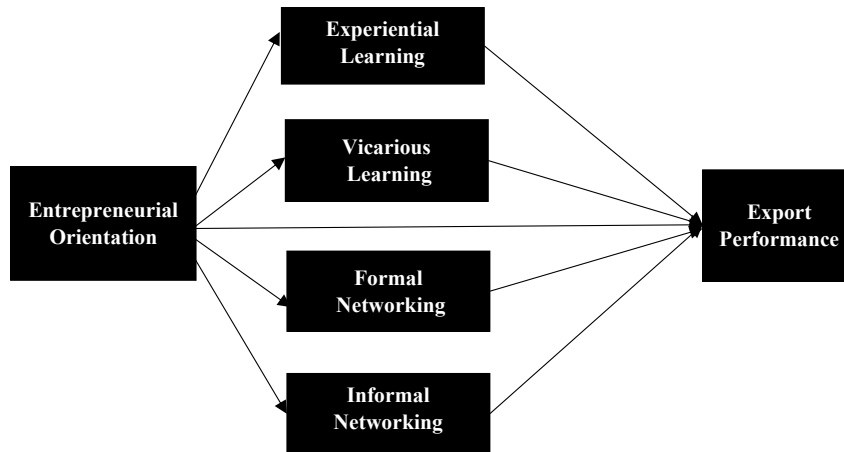**Stream 5: Entrepreneurship and SMEs**

Figure 1: Conceptual Framework

Table 1: Definitions of the dimensions of Entrepreneurial Orientation

Dimension	Definition
Innovativeness	the "firm's effort to find new opportunities and novel solutions" (Gregory & Lumpkin, 2005, p. 150).
Risk-taking	"the degree to which managers are willing to make large and risky resource commitments, i.e., those which have a reasonable chance of costly failures" (Miller & Friesen, 1978).
proactiveness	This concept explicates the idea that proactiveness is the firm's ability to anticipate the future, imagine the products that are not even in the customers' thoughts and not known in the industry (Kallmuenzer & Peters, 2018)
Competitive aggressiveness	expresses how intense a firm competes with and attempts to outperform competitors (Hughes & Morgan, 2007) and it is directed towards achieving competitive advantage to firms (Lumpkin & Dess, 1996).
Autonomy	describes an individual or team's authority and independence to develop and complete business concepts inside a firm (Hughes & Morgan, 2007). The extent to which autonomy is exercised in a firm is a function of the size of the firm, management style, and ownership of the firm.

Source: Constructed by authors

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Stream 5: Entrepreneurship and SMEs

Table 2: Theoretical and practical contribution of the study

Theoretical Contribution	Practical Contribution

• Contextually enriched understanding of Ambidexterity Theory with Entrepreneurship.
• Adding following *debate*s to the literature:
   o EO- All five dimensions are not required equally.
   o Learning- Both learning types are important but not equally.
   o Networking - Both networking types are important but not equally.
	• SME owners can use findings to determine what kind of entrepreneurial behavior, learning, and networking types are most effective for improving export performance in an emerging market context.
	• Facilitate policymakers, practitioners, and educators to take the necessary steps to enhance the performance in export-oriented SMEs through entrepreneurial behavior, learning, and networking.

Source: Constructed by authors

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Unlocking Corporate Social Responsibility of Small and Medium Enterprises in Singapore: Compliance or Conviction?

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Unlocking Corporate Social Responsibility of Small and Medium Enterprises in Singapore: Compliance or Conviction?

Abstract

This exploratory study draws on stakeholder theory and reports why and how small and medium enterprises (SMEs) in Singapore act in a socially responsible manner. We conducted structured interviews with 31 SMEs from 18 different industries in Singapore and present as a single case study of their current state of CSR engagement. Emerging from the findings, unlocks two distinct industry sectors SMEs belong and their CSR priority within varies. First, SMEs from highly normative sectors complying with regulations and established norms imposed by institutional stakeholder practise *Compliance CSR*. But in less normative sectors, such stakeholder pressures are minimal and following them is insufficient to establish competitiveness. Hence these SMEs choose to practise *Conviction CSR*, proactively driven by the need to cater to broader stakeholders such as management, employees, community and customers. Our results also highlight the importance of aligning SMEs' overall strategy with CSR.

Keywords: Corporate Social Responsibility, Small and Medium Enterprises, Compliance, Conviction Singapore

1. INTRODUCTION

In the last decade scholarly interest in SME CSR practices stem from the widespread recognition of SMEs' CSR and sustainability practices (Spence 2017) possibly because of current government policies and regulations demanding firms, including SMEs, to disclose their CSR practices and initiatives. For instance, The Organisation for Economic Co-operation and Development (OECD) recently urged governments to develop a cohesive strategy to level the playing field for SMEs to contribute to economic and social contexts effectively (i.e., OECD SME report, 2018, p 5).

However, many conceptual and empirical CSR studies are based on large companies. Such research, though insightful, may not apply to SMEs. SMEs differ from large companies in various ways, such as history, size, institutional structures, their orientation towards profit (Spence, 1999; Spence & Rutherfoord, 2003), management styles (Perez-Sanchez, 2003; Tilley, 2000) and cultures (Del Baldo, 2012). In fact, there are no mandatory rules for reporting or guidelines for SME CSR practices in many countries (Jamal et al, 2016, Matten & Moon, 2008). These differences could have implications for the content, nature and extent of SMEs' CSR engagement. In a recent systematic review on SME CSR reveals that publications have grown significantly in the last decade, however, empirically based

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quantitative surveys and panel study designs dominate the field over other methodological designs such as qualitative case studies and conceptual model (Oduro et al., 2021). According to the authors, bulk of the studies employed the stakeholder approach to examine CSR, there is no consensus regarding which stakeholders SMEs prioritise in the analysis.

With this in mind, this study responds with a case study approach to help provide a rich descriptive, exploratory and explanatory focus on why and how SMEs in Singapore engage in CSR. Based on structured interviews with thirty-one SMEs from eighteen different industries, we take a deductive approach to test the stakeholder theory in different situations, or different periods (Elo & Kyngäs, 2008). In summary, our research method enables us from the thick, in-depth descriptions to assess SMEs CSR organizational practices in real-life contexts including barriers as well as identify the key stakeholders that drive their CSR.

Hence, emerging from our findings are the two distinct sectors that the 31 SMEs can be categorised into and within, their CSR drivers are uniquely different. We interpret the two sectors as highly normative and less normative and in the former, SMEs practise compliance-based CSR while in the latter, adopt conviction-based CSR. Driven by stakeholder theory, our findings explain how CSR is embraced by SMEs from Singapore's perspective and shed light on issues for policy-makers and business practitioners concerning the possible ways of engaging SMEs in CSRs that benefit both the enterprises and society.

2. LITERATURE REVIEW

2.1 Stakeholder Perspective

Advocated by Freeman (1984), several scholars and practitioners use the stakeholder perspective to understand CSR (e.g., Graafland & de Ven, 2006; Lindgreen et al, 2009). This perspective is based on the view that an organisation exists within networks of stakeholders and potentially faces conflicting demands from various stakeholder groups. Hence, the company's CSR and its concomitant policies and practices are heavily influenced by stakeholders (Lindgreen et al, 2009). Large companies integrate social, environmental, ethical human rights, and consumer concerns into their business operations and core strategy in close cooperation with stakeholders while complying with legislation. However,

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integrating CSR has proven difficult to enact in practice (Galbreath, 2006; Vos & Achterkamp, 2006), particularly for SMEs with limited resources and bounded rationality. Yet a recent study by Stoian and Gilman (2017) with data from a survey with 211 U.K.-based SMEs argues that by aligning CSR activities with the competitive strategy of the firm, SMEs can enhance firm growth. The authors strongly address determining which stakeholders carry more weight for SMEs is a topic that deserves greater research attention.

Research suggests that stakeholders can be categorised into two types; primary and secondary (Clarkson, 1995). The primary stakeholder group comprises shareholders and investors, customers, suppliers, employees, the community and institutional actors. The institutional environment is not only limited to the formal institutions, such as government but also involves informal societal-level norms and values that create implicit CSR (Brammer et al. 2012; Tolmie et al., 2020). Companies need to adapt their social and environmental practices in order to conform to the prevailing formal institutions (e.g. laws, policies or private agreements) and informal institutions (e.g. cultural norms, religious beliefs or professional routines) because they cannot survive without a certain level of external social approval (Jesús Barrena-Martínez et al., 2016; Jamali et al., 2017; Frynas & Yamahaki, 2016). The continuing participation of this primary group is essential; without it, the company could not survive.

The secondary stakeholder group includes those who are engaged indirectly in transactions with the corporation. Examples are the media and a wide range of special interest groups. In this research, we focus on the five primary stakeholders and their influence on CSR. The following section speaks of the motivators and barriers in SME CSR in common and contrast to large companies, found in extant and emerging literature.

2.2 CSR Motivators in SMEs

Existing studies indicate that there are some CSR motivators common to large companies and SMEs. For example, Aguilera et al. (2007) point out that the motives for SMEs to engage in CSR can be economic (to achieve long-term profits), relational (to increase social cohesion), and ethical (to act in a meaningful); these are consistent with the motives of large companies. However, research suggests that the significance of CSR is different for SMEs given the differences between them and large companies in organisational structures, resources, leadership and values (Perez-Sanchez, 2003; Tilley, 2000). For

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example, some motivators are particularly important to SMEs. A key difference for SMEs is that ownership and management are not separated to the extent that they are in large multinational firms (Spence & Rutherfoord, 2001). Hence, control remains in the hands of owner-managers, potentially enabling them to make idiosyncratic choices about the allocation of resources (Spence, 1999). In large companies, managers are bound by the board of directors, which monitors the strategies to maximise shareholder value. In SMEs, without the directive of an independent board, there is a greater chance that the manager-owner's ethics, values and beliefs will have a strong influence on the CSR strategies (Jamali et al., 2009; Spence & Rutherfoord, 2001; Leopoutre & Heene, 2006; Hsu & Cheng, 2012). Research also suggests that SMEs have a more direct connection with the local community. They benefit from being recognised as an embedded part of the community in which they do business. Therefore, they must build their reputation, trust, legitimacy, and consensus with and among citizens (Vyakarnam et al., 1997). SMEs are also characterised by a higher degree of involvement with employees at different levels within the organisation. With a flatter organisational structure and limited human resources, SMEs often require flexibility from employees to adapt their competencies and skills to various tasks in their day-to-day work (Russo & Perrini, 2010). Correspondingly, empirical studies show that issues closest to SMEs and their primary stakeholders have priority in their CSR activities (Jenkins, 2006; Perrini, 2006; Perrini et al., 2007). Therefore, employee-directed programmes and local community involvements are still the most frequently practised CSR activities (Eding & Scholtens, 2017; Yu & Choi, 2016; Santos, 2011).

On the other end of the CSR spectrum are green initiatives. According to the recent OECD paper on green growth reports that SMEs have a high environmental footprint since they constitute a large fraction of the manufacturing sector which contributes heavily to a big chunk of global resource consumption, pollution, and waste generation (Koirala, 2019). Hence, in supply chain management where SMEs play a critical role alongside large companies, burgeoning pressures for green manufacturing from national and international agencies are mounting (Seth et al, 2018), yet scholars and practitioners have largely ignored addressing what drives green practices from within SMEs (Alayon et al., 2017; Lee, 2009).

2.3 CSR Barriers in SMEs

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There are several distinct barriers identified that limit SMEs' engagement in CSRs. Empirical studies show that SMEs are less active in proactive CSR-related activities which involves business strategies and practices that go beyond regulatory requirement voluntarily adopted by large firms (Torugsa et al., 2012). Other studies mention of SMEs lack of awareness of CSR practices at the social, economic and environmental levels that may deter them from engaging in CSR. This lack of awareness may extend to the motivations, perceived benefits, and existing obstacles to CSR (Santos, 2011; Zengming et al., 2021). In terms of strategy, due to their high heterogeneity, SMEs' approach to CSR is nuanced, more informal, and lacks strategy (Lee et al., 2016; Amaeshi et al., 2016). In all these instances, SME stakeholder prioritisation relies primarily on managerial discretion, their specific instrumental or normative inclinations, and their assessment of relational stakeholder attributes of power, legitimacy and urgency (Mitchell et al., 1997). It is therefore understandable that if the pressure from external stakeholders (for instance, customers, suppliers, community, government) is not strong or as Porter and Kramer (2006) argues, SMEs do not capture the strategy behind 'prioritizing' the needs of stakeholders that makes the most strategic sense in CSR, then SMEs are unlikely to implement CSR policies. In summary, the unique phenomenon of CSR and the lack of understanding the dynamics of stakeholders prevalent in SMEs means more qualitative research is needed to better understand this relationship (Parker et al., 2015; Tang & Tang, 2012; 2018; Jain et al., 2017). Therefore, our study aims to find out how and why SMEs practice CSR in Singapore, and to investigate the barriers and motivators for them to do so.

3. Singapore as the Research Context

Singapore a city state unique from its neighbouring countries, affluent with strong government presence, is renowned for being business-friendly to MNCs who bring with them values and practices of their head offices such as introducing CSR elements into their Singapore-based operations. In a global context SMEs form the economic backbone, and in the last decade the rapid development of technology allowed particularly high growth SMEs to share the same competitive space with MNCs (Dabić et al., 2020) thus allowing for better reachability of markets, users, and potential customers which were never imaginable in the past (Musteen et al,. 2014). In the same token, the Singapore

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government strongly supports the SME community to develop their internationalization strategies, and also plays a strong directive role in promoting corporate philanthropy (Sharma, B., 2013). Consequentially, whether SMEs comply with government legislation or adopt upstream MNCs values, or are driven by stakeholders in the implementation and uptake of CSR deserves further enquiry which makes Singapore an ideal testbed for such a study.

4. METHODOLOGY

Quantitative surveys and panel study designs dominate the SME CSR literature over other methodological designs such as conceptual models (Oduro, S, et l., 2021) as compared to the much fewer qualitative case studies (52 percent vs 6 percent) indicated in a recent systematic review (Bikefe, G., et al, 2020). A case study is deemed most appropriate for this research as it is able to focus on underlying explanations that help to (a) understand how and why everything has happened in a certain way (Yin, 1994), and (b) create thick, interesting, and easily readable descriptions and rich understandings (Dyer & Wilkins, 1991; Eisenhardt & Graebner, 2007; Gummesson, 2006). Based on these arguments, this study on SME CSR needs to be studied as a case of 'where it is being practiced and should reflect the experiences of those involved' (Dober & Halme, 2009: 298) to examine the phenomena in their natural settings (Ghauri & Gronhaug, 2002; Ghauri, 2004; Yin 2009).

Interviewing is the most widely used form of data collection in qualitative research (Creswell, 2007). Over the last few decades, the growth of the Internet has developed the experience of online interviewing in qualitative inquiry with one-on-one interviews performed by both synchronous (real-time) and asynchronous (non-real-time) arenas (Janghorban et al., 2014). Emails, bulletin boards, and discussion groups are the most commonly used methods for asynchronous online interviewing (Hooley et al., 2012).

This research employs both synchronous, and asynchronous interviews via email as a data-gathering tool. While interviews serve as evidentiary data to support the case of how and why SMES engage in CSR, they also help to understand their perceptions, motivations and barriers.

4.1 Interview schedule

Yin (1994) and Stake (2000) highlighted the main technique for summarizing and analyzing substantial amounts of qualitative data from interviews is to adopt an analytical framework, thereby

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increasing its reliability (Yin, 2003;1994). The structured interview schedules were designed with the stakeholder theory as a guiding framework to cover aspects of customers, employees, supply chain partners, community and governance bodies.

We conducted interviews with either the managing director or owner(s) because of their proximity to the business (Jenkins 2006; Murillo & Lozano, 2006). A two-stage interview approach was adopted to achieve data saturation (Guest et al., 2006) and to add more rigor to the evidence. Stage 1 consists of face-to-face in-depth interviews each lasting about 45 minutes. Stage 2 comprise online asynchronous interviews where more participants can be reached to overcome the challenges of cost, time and limited access associated with face-to-face interviews (Meho, 2006). Asynchronous interviews via email are increasingly identified as part of online research is one of the new methods or tools for conducting more effective research while retaining or improving quality for carrying out qualitative research (Meho, 2006) (see Appendix 1 for demographics and interview questions).

4.2 Sample and data collection

From the *Times Business Directory*, of the 70 companies shortlisted, 31 companies, from 18 different industries, agreed to participate in our study. After securing approval from the Ethics Committees in the authors' university, data collection was conducted between July 2018 and April 2019. All of the SMEs have been in operation ranging from 1 year to 40 years in business, and Table 1 identifies SMEs by numbers (i.e., SME1, SME2… SME31), description of their operations which falls into two industry divisions; Service or Manufacturing and Construction, followed by some demographic information.

---------------Insert Table 1 around here----------------

4.3 Data Analysis

Interviews underwent rigorous thematic and content analysis. The former, a method for identifying, analysing, organizing, describing, and reporting common themes found within a data, which can produce trustworthy and insightful findings (Nowell, et al., 2017). Then content wise, the raw, unstructured text-based data collected from interviews were transcribed, coded and categorized

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into 'seemingly fit' CSR themes with the assistance of a qualitative diagnostic tool MAXQDA[1]. Applying deductive reasoning (stakeholder theory) to coding, the 31 individual transcripts were compared for similar themes and resulted in ten (10) key themes falling into 4 categories: CSR perceptions, practices, motivators and barriers, derived from the codified segments (Coppa & Sriramesh, 2013). The themes are shown in Table 2.

----------------Insert Table 2 around here---------------

5. RESULTS

The theme of "business responsibility to society" is a common perception shared by the 31 SMEs that translates into either active, reactive or passive CSR (Štumberger & A. Pauly, 2018). Having said that, our findings reveal that 94% of SMEs in this study are from the dominant 70 % service-producing industry as reported in the 2020 Economic Survey report by the Ministry of Trade and Industry (MTI) in Singapore, while the remaining SMEs belong to the lower 25 % goods-producing industry that includes manufacturing and construction (MTI, 2021). Table 1, column 3 indicates the two primary industry divisions the 31 SMEs fall within. Of these, specifically 5 SMEs encounter and adhere to strict prevailing standards and audit procedures established by government or industry norms to either control or regulate the work-environment safety or their product/service quality. These are interpreted as highly normative sectors in our study. For instance, ISO 14000 relates to the voluntary practice of environment management by shipping companies which is one of the highly-regulated industry where most stakeholders' concerns on the environment, safety, and employees' well-being are adequately addressed (Yuen & Lim, 2016). In that sense, SME 29 and SME 30 in our sample operate in the shipping environment indicated in Table 3.

The remaining 26 SMEs operate in industries with less scrutiny of such institutional norms. In other words, these SMEs follow regulatory framework that every Singapore company must operate (i.e., Corporate Tax returns with IRAS, Goods and Services Tax registration, filing annual returns with ACRA, labour laws, personal data protection compliance, Singapore's contracts laws, and anti-competitive activities). Hence, these SMEs operate in less-normative sectors. A summary of the CSR

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[1] The coding was conducted in MAXQDA, a qualitative diagnostic tool which assists with the sorting, documenting and analysis of the transcripts. Once the transcripts were loaded onto MAXQDA, the transcript of each SME was reviewed in-depth and segments containing these themes were then codified. Codes that occur in a given document can be counted, on a per-document basis arriving at the frequencies of each code.

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practices, motivators presented by themes, barriers and the salience of stakeholders for the less and highly, normative SMEs are presented in Table 3. In the following section, we uncover our findings of CSR motivations and barriers of the highly-normative SMEs, followed by the less-normative SMEs.

----------------Insert Table 3 around here----------------

Highly-normative sector

CSR motivators in highly-normative sectors

Specifically, for the 5 SMEs (i.e., SME27, SME28, SME29, SMR30 and SME31) operating in highly-normative sectors, two forms of *pressure to comply* were identified as their CSR motivators; a) regulation from government agencies to minimize scrutiny, and b) to meet local and international client expectations for legitimacy purpose. The first motivator, government pressure, is well prescribed by SME28 from the manufacturing industry; *"We have to abide by the law to protect our environment with regards to air, water and sound pollution. In fact, this is enforced by the government.* Moreover, these 5 SMEs are in Business-to-Business (B2B) operations and satisfying their clients' expectations to comply with legislation to behave ethically, truthfully and responsibly is crucial for their business. Such CSR acts are interpreted as compliance to their clients' demands that extends their legitimacy in society. SME31 a pharmaceutical company clarifies about its stance on legitimacy as follows; *"Our company takes serious view of customer complaints and thru Codes of Good Practices and conduct of audit inspections".*

Taking care of their employees to retain talents and to enhance employee-bonding was identified as an important CSR driver to the other three SMEs (i.e., SME27, SME28, SME31). Narratives of employee-focused CSR are as follows; "…younger employees act as Ambassadors of CSR… CSR can be used to even retain our staff and that is very promising for our company" (SME27), "CSR…is taking care of the staff, taking care of their needs, not abusing them" (SME28) and, " .. to foster greater employee-bonding" (SME31).

CSR barriers in highly-normative sectors

Findings reveal that SMEs from highly-normative sector cite the lack of awareness to motivate employees to engage in CSR as the main barrier. This weakness is evidenced in SME29's statement

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which reads *"we do not have the knowledge how to conduct CSR related to my employees to motivate them, to encourage them"*, and SME30's frustration is about *"Getting the employees to buy-in to the idea (CSR)"*. Even if this barrier is overcome, the fact remains that CSR is not a choice when resources are spread thinly and the profit-driven motive (Spence & Rutherfoord, 2001) could override management's slightest intention of "doing good". Such limitations are inherent in the business as SME28 points, *"It will take much more capital, labor and time to contribute to CSR in terms of community. ..this is not the CSR that many companies will engage in, especially SME "*. While SME31's CSR is reactive by understanding that its approach to CSR as *"ad-hoc based"*, it did contemplate redefining its CSR agenda to integrate strategic aims as quoted; "*CSR, maybe in the future, This industry is competitive"*.

In summary, the 5 SMEs belonging to the highly-normative sector face significant institutional forces at play costing money and time for compliance in their respective competitive industries thus allowing less resources to be embedded in CSR. Furthermore, this problem is further exacerbated by the lack of CSR awareness which surrounds mainly on their ability to motivate their employees into CSR or in redefining their corporate strategy to unlock CSR's potential.

Less-Normative Sector

CSR motivators in less-normative sectors

The 26 SMEs operate in industries relatively having less institutional norms and our findings indicate that these SMEs generally engage in more diversified and proactive CSR, taking multiple stakeholders into consideration. In that sense, they develop strong relationship with their internal (i.e., employees) and some extending beyond, towards external stakeholders (i.e., customers and community). Emerging from the coded segments are four CSR motivators of interest; top management support, employee-invested, community-involvement with philanthropy and lastly, branding.

1.   Top management Support

The management of SMEs are likely to play a major role in determining the level of commitment to the implementation of CSR activities in the enterprise as past studies indicate (Vives, 2006; Leopoutre & Heene, 2006; Hsu & Cheng, 2011; Freisleben, 2011). During this study,

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either the owners, managers or committee members were interviewed face-to-face by the principal investigator. Particularly the management of 4 SMEs (i.e., SME2, SME3, SME22, SME24) have set up CSR committees that carefully plan, aligning CSR activities with the competitive strategy of the firm. For instance, SME3 rationally and validly argues for a strategic case behind their CSR: *"If CSR is not done strategically, sustainably, ..CSR is the first thing to get cut.., I think it has to balance of all these (strategic concerns)."*

2.   *Employee-invested*

Next, our findings reveal that these less normative SMEs are most concerned about pressing issues of staffing and developing high potential employees to support the growth of the firm. In this regard, SME2 from the F & B business invest significantly in their employees, which Castka et al., (2004) refers as the internal dimension of CSR, crucial for the company's external rating. For example, providing sports and fitness activities, health insurance, and financial support for further education, for its employees are treated as employee-focused CSR which could influence employee's perception of a socially responsible company. In the event, employees leave the company, it is management's belief that these employees continue to play a crucial role in also shaping external stakeholders' perception and the evaluation of the company, as past studies reveal (Collier & Esteban 2007; McShane & Cunningham 2012). The following narrative from SME2 expresses this point; *"We want to keep those skilled, experienced staff to continue to be in our employment. So, it is in our benefit.. We want our employees to say good about our organization, even after they leave our company."*

3.   *Community-involvement*

Findings reveal that an impressive 17 SMEs (SME1 to SME4, SME7, SME10, SME12, SME14 to SME20, SME26, SME29 and SME30) are more proactive from their external-oriented CSRs. Some involving not only local but overseas communities as well. For example, SME1, organizes community-based voluntary activities to provide food and household equipment for underprivileged families in the Philippines. In addition, almost 85 % of the less-normative SMEs demonstrate a strong CSR commitment to the local community in Singapore. Their 'doing good"

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include supporting animal welfare, distribution of food rations during festive seasons, going environmentally friendly (includes waste management, recycling, digitalisation vs printing), providing pro-bono services, free fitness sessions, cleaning homes and charity yard sales, sponsorship for student tuition fees, provide mentorship to schools and more. Since these community-based corporate philanthropic roles present a genuine manifestation of the companies' good intentions and moral evaluations (Godfrey, 2005), could help create a good image within the community. Hence, such largess from companies with considerably lesser resources could incidentally lead to the next CSR motivator, branding.

4.   *Branding*

By engaging diverse stakeholders, fitness consultant SME4 on a positive note believe that their embedded CSR involving their employees draws recognition from the community. This adds value to their business as highlighted: *"when you do the (CSR)..., for the community and all those kind of involvement with your employees as well, you find there's a... more value... More brand recognition"*. In the same vein, SME19, a consultancy business, wisely pointed, *"CSR has long term goals—you cannot measure its impact in the short-run, benefits take time and for small companies like ours, we hope CSR will someday, return the benefits in the form of good clientele and built up our reputation."* Even though these less-normative SMEs do fall within a set of legal rules to operate in Singapore's regulated business environment, simply complying to them is insufficient for these SMEs to stand out from their competitors. In fact, enhancing their corporate citizenship by responding to a broader network of stakeholders' expectations such as employees and community, incentivises these SMES to leverage CSR because of their strong "conviction" that doing good and doing well can co-exist (Meyer, 2015).

5.   *Another interesting driver*

Interestingly, SME2 along with two other companies (SME6 and SME22) from the consultancy business postulated that younger employees can lead, drive and even act as a catalyst of CSRs; in particular referring to the millennial generation, popularly known as Gen Y (born after 1980). While this generation is not unique in their ethical and environmental views as considered by

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popular media and a recent study (Rank & Contreras, 2021), our finding shows otherwise. In fact, a climate where management and employees have open conversations allows the younger workforce to lead in transforming SME-CSR implementation with ideas and talents drawn from their previous work experiences with large companies. In that sense, Landberg (2003) mentioned that millennials make decisions based only on a few factors or attributes that are important to them, such as efficiency, timing, and mediums of communication. Hence, a few phrases from a millennial human resource manager of SME2 caught this study's attention; *".. there is open communication with our area manager and she is empowers us"*, *"our manager acknowledges that the company needs younger people "*and *"young people bring such (CSR) practices and training from previous working experience with MNCs and we are more open towards CSRs,. bringing (CSR practices, ideas) in from the MNCs."* When more such SMEs value diversity in the workforce by attracting high potential employees from large companies, this could possibly invoke third generation ethics and thinking to become a part of the corporate landscape. Infact such evidence of convergence in the corporate code of ethics was suggested in a past study (Popova et al, 2009). The authors mention of third generation ethics being grounded in responsibilities to the larger interconnected environment, and could guide future corporate behavior. Arguably, the experiences, knowledge and ideas tied to corporate code of ethics that this younger workforce brings from MNCs to SMEs in this study, may not be applied in the same way since it is difficult to articulate exactly which CSR activities should SMEs adopt (Lindgreen et al., 2009; Jenkins, 2004). Moreover, the topic of generational workforce and its contributions to CSR continues to be a controversial (Rank & Contreras, 2021) but is of consequential interest to practitioners and researchers alike.

CSR barriers in less-normative sectors

While results show corporate motivations towards CSR are from their immediate stakeholders such as top management and employees, the very same could also attribute for SMEs' disengagement from CSR when their support is discontinued or disrupted. For instance, SME5 identified key barrier to overcome in CSR is the lagging decisive role of leaders, as quoted: *"If the leadership moves the people (i.e., employees), I guess the latter (CSR) is easily overcome"*. On the

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contrary, SME1 cited employees' low interest in participating in CSR activities, despite having in place supporting CSR policies. Possible reason being that management had sensed the misalignment between the CSR activities and employees' interest (Zhang et al., 2021). Similarly, CSR could be seen as extra-role specifically by those employees with family and work commitments that are equally demanding (Brown et al., 2005; Cowlishaw et al., 2008). This is a significant drawback for SME22 from the environment industry who elaborates; *"The main barrier towards CSR would be the inability to sustain an initiative due to burnout or a failure to rotate employees for a certain CSR project",* and therefore, *"engaging employees is the biggest barrier; although we tried to initiate CSR activities, not all employees were willing to participate. Some gave the reason of family commitment… They do not see the benefits of engaging into such CSRs… As such, we have to refine our CSR strategies to align them with employees' interest."* The third barrier from this study is the lack of clear CSR agenda which resonates with an earlier Singapore study (Lee et al, 2012) while our findings explain deeper of communication pitfalls with stakeholders. Therefore, some SMEs mention that their CSR strategies are overall weak by blaming their limited orientation in communicating CSR with their internal stakeholders. The few selected examples help clarify this point. First, SME3 explains; *"If more companies are aware, of course there will be more ideas generated, but a lot of times, it's not. The bottleneck isn't so much at the top, but more of an orientation".* Next, SME8 in business for less than a year had done some charity work for tax reasons, but had never communicated about CSR with its' external stakeholders as quoted; *"We don't really discuss these things (CSR) with them (Suppliers)".* Also, communicating about CSR to employees with less education in certain industries, is hard to overcome, as the owner of SME23, involved in indoor cleaning services says, "*our employees have less education to drive the CSR".* Comparatively, evidence shows that even more successful businesses like SME 21, an online financial aggregator of loans with 10 years in service, was blurred about its CSR agenda by saying, "*what cause to choose from?".* Hence, when previous research indicates there is a positive relationship between SMEs' involvement in external CSR activities and the age of the company (Santos, 2011), this was not the case in our study.

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Cost restraints, budget and profit-driven motives, unclear CSR agenda are the common justifications for the limited CSR by the less-normative SMEs which are consistent with the finding that size of an enterprise has been identified as a barrier for SMEs to engage in CSR practices (Bikefe et al., 2020). A quote from SME19 succinctly expresses size does matter in CSR as follows; "*During economic crisis, CSR is definitely the last priority... If the owner is in a very competitive business environment, and profit making is his priority, then CSR will not be in his mind*". This narrative illustrates that CSR is least in their priority when SMEs are constantly challenged by competitive forces to stay sustainable and are hardest hit during bad economic times.

6.CONCLUSION

Our results provide two-fold contribution to the literature on SMEs' CSR. First, two types of CSRs emerge from our analysis, i.e., *Compliance—CSR* by SMEs in highly-normative sector and secondly, *Conviction—CSR* by less-normative sector. For the former sector, their CSR focuses on the legal context of corporate behaviour while for the latter sector, their CSR is grounded in responsibilities to the larger interconnected environment and integrated with the primary concern with profits, and their corporate behaviours mandated by law. Such results imply that the stance of SMEs in adopting CSR still depends on their business needs, but particularly, to what extent CSR could add value to their business. Second, our results highlight the importance of aligning CSR with corporate strategy. We have shown that CSR could be designed from a stakeholder perspective and developed to assist SMEs' overall strategy which could serve as an engine for sustainable growth.

7.LIMITATIONS OF THE STUDY

We acknowledge two limitations in our study. First, those SMEs with little or no involvement into CSRs rejected our request while only those SMEs having some involvement in CSR showed interests. Such a self-selection bias will cause a biased sample with nonprobability sampling (James, 2006). We therefore may have missed the important insights from those SMEs not involved in CSR. Secondly, the interviewees were given the opportunity to respond in their own words, rather than being forced to choose from fixed response, with the exception of 5 SMEs (i.e., SME13, SME15, SME16, SME17 and SME26) whose responses were shorter due to time constraint by the interviewees. Despite these steps, the nature of qualitative data makes it difficult, if not impossible, for the interviewer to maintain the

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objectivity in the data analysis because of the interviewee's personal values, cultural background, educational level, and their concern of being the spokesperson for the company, which may influence the responses.

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Table 1. Demographic Information of the 31 SMEs

Small Medium Enterprise (SME) #	Sector	Division of industry	Business description	Years in operation in Singapore	Number of full-time (FT) and part-time (PT) employees	Sales Turnover	CSR decision making by: committee / owner/manager
			Less- Normative Sector				
SME1	Corporate consultancy	Service	Corporate training and motivational workshops	Less than 2	3(FT)	Less than $500 K	Owner
SME2	Food & Beverage	Service	A global franchise restaurant and delivery service of Japanese cuisine.	7	170(FT), 267(PT)	Declined	CSR committee
SME3	Tourism	Service	An island Eco beach resort with its own	12	70(FT)	Less than $20 M	Sustainability committee

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			natural-spring- water-landscape pool.				
SME4	Fitness	Service	Provides customized health and fitness programs, including schools.	4	3 (FT), 25(PT)	Less than $500 K	Owner
SME5	Corporate consultancy	Service	Accounting and Secretarial services	8	14(FT)	Less than $1 M	Manager
SME6	Corporate consultancy	Service	Corporate advisory services	18	20(FT)	Declined	Manager
SME7	Digital Marketing	Service	Digital marketing and supply of talent media	4	30 (FT)	Less than $1 M	Owner
SME8	Digital Marketing Consultancy& Training	Service	Provision of digital marketing and training services	1	5(FT)	Less than $500 K	Owner
SME9	Corporate consultancy	Service	Provision of IT services	5	3(FT)	Less than $500 K	Owner
SME10	Wholesale and Retail -eyewear	Service	Provision of eye glasses	1	2(FT)	Declined	Owner
SME11	Freight forwarding	Service	Provision of freight for commodities	31	30(FT)	Less than $1 M	Manager
SME12	Food & Beverage	Service	Restaurant business	8	10 (FT)	Less than $1 M	Owner
SME13	Automobile-repair	Service	Car repair, sale of car accessories	30	6(FT)	Less than $1 M	Owner
SME14	Education	Service	Tuition services-primary and Secondary	Less than 5	19(FT), 50 (PT)	Less than $5 M	Owner
SME15	Fitness	Service	Gym	6 months	6 (FT)	Less than $5 M	Owner
SME16	Automobile-repair	Service	Sales of car parts, air-con service	30	6 (FT)	Less than $ 1 M	Owner
SME17	Finance	Service	Sale of foreign currencies	12	2(FT)	Less than $20 M	Owner
SME18	E-commerce	Service	Online delivery portal of daily necessities	4	15(FT)	Less than $500 K	Owner
SME19	Corporate consultancy	Service	Provision of consultancy, training to corporate clients	22	3 (FT)	Less than $500 K	Owner
SME20	Corporate consultancy	Service	IT, Business Process Consultants, Implement SAP	22	3(FT)	Less than $500 K	Owner
SME21	Finance	Service	Online Financial Aggregator- loans	10	125(FT)	Less than $20 M	Owner
SME22	Cleaning	Service	Environmental Cleaning Services	40	1600(FT and PT)	Less than $100 M	CSR committee
SME23	Cleaning	Service	cleaning -indoors	7	22	Less than $1 M	Manager
SME24	Education	Service	Undergraduate and masters program	8	72 (FT)	Less than $20 M	CSR committee
SME25	Data analytics	Service	Data & Artificial Intelligence (AI) Consulting Services	11	50 +	Less than $20 M	Owner
SME26	Engineering	Service	Engineering services	16	21 (FT)	Less than $5 M	Owner
			Highly-Normative SMEs				
SME27	Credit rating	Service	Credit reporting and Business information services	18	70(FT)	Less than $50 M	CSR committee

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SME28	Manufacturing	Manufacturing	Parts trading and forklift trader	35	25(FT)	Less than $1 M	Owner
SME29	Shipping	Service	Freight forward logistics	13	10 (FT)	Less than $20 M	Owner
SME30	Shipping	Service	Supply of ISO tank containers for shipping	12	< 200 (FT)	Less than $100 M	Manager
SME31	Pharmaceutical	Service	therapeutic solutions for brain stroke patients	18	50	Declined	Manager

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Table 2 Thematic Analysis Results based on MAXQDA

Less -Normative/ Highly-Normative SMEs	Small Medium Enterprise (SME)	Perception	Motivators/Themes						Barriers/Themes		
		Business responsibility to society (first-order coding)	Community involvement (first-order coding)	Philanthrophy (first-order coding)	Employee-invested (first-order coding)	Institutional compliance (first-order coding)	Branding (first-order coding)	Top management support (first-order coding)	Profit-driven (first-order coding)	Lack of CSR agenda (first-order coding)	
										Lack of awareness (second-order coding)	CSR strategy needs redefining (second-order coding)
Less-normative	SME1	2	1	1	2	1	2	1	0	0	0
	SME2	5	2	0	6	0	1	4	0	1	0
	SME3	3	2	1	3	1	0	1	1	1	1
	SME4	2	2	3	1	0	3	2	2	1	2
	SME5	1	0	0	3	5	1	2	3	0	3
	SME6	1	0	2	0	1	0	2	0	4	0
	SME7	6	2	1	1	0	1	1	1	0	1
	SME8	5	0	2	1	0	0	1	0	0	1
	SME9	3	0	2	0	3	1	1	0	1	0
	SME10	1	1	0	0	0	1	0	2	0	1
	SME11	2	0	2	1	0	0	1	1	1	2
	SME12	4	1	0	1	0	0	2	0	0	2
	SME13	2	0	1	0	0	0	1	0	1	0
	SME14	2	2	3	1	0	3	2	2	1	2
	SME15	3	1	1	0	0	3	1	1	0	0
	SME16	4	1	2	1	0	0	2	1	0	0
	SME17	4	1	0	0	0	2	1	1	0	0
	SME18	3	4	2	3	1	0	4	0	1	0
	SME19	5	3	1	1	0	0	4	1	0	0
	SME20	3	1	0	1	0	0	1	1	0	1
	SME21	0	0	0	1	1	1	1	3	1	0

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	SME22	6	2	1	3	2	0	3	1	0	1
	SME23	3	0	0	2	4	0	1	0	1	0
	SME24	3	2	2	3	0	0	5	1	0	0
	SME25	2	2	1	2	0	1	1	1	0	2
	SME26	4	0	2	1	1	3	0	1	0	0
Sum of coded segments		=79	=30	=30	=38	=20	=23	=45	=24	=14	=19
Highly Normative SMEs											
Highly-normative	SME27	2	1	1	2	1	1	1	0	0	3
	SME28	1	0	0	3	5	1	2	3	0	0
	SME29	1	0	2	0	1	0	2	0	4	0
	SME30	1	0	0	0	4	5	0	0	1	0
	SME31	1	0	0	3	1	1	1	2	2	2
Sum of coded segments		=6	=1	=3	=8	=12	=8	=6	=5	=7	=5

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Table 3. CSR practices, motivators by themes, barriers and salience of stakeholders for the interviewed 31 SMEs

Branch of CSR	Industry	Nature of business	CSR practices	Types of CSR involved, some with quotes (italised)	CSR Motivators	Stakeholders	Barriers
Conviction	Less normative	SME1 (Consultancy)	Philanthropy and Community (overseas)	-Philanthropy overseas (Philippines), feeding undernourished children, providing necessities annually - community	Employee- invested Top management support, Branding, Institutional compliance	Customers, Top management	Time
		SME2 (Food & Beverages)	Greater CSR initiatives to the employees and their engagement in CSR	-Sports and fitness for employees -philanthropy food donation drive to community	Employee- invested. Top management support, Branding	Employees, Top management	Younger employees are more creative, wanting to try new CSR initiatives while older employees are more hesitant
		SME3 (Eco-Tourism)	Employees and eco-environment	-educating guests about the protection of environment -green education program -holiday season charity events -hiring employees with disabilities	Employee- invested, Top management support, Institutional compliance	Employees, Customers, Top management	Alignment of economic profits and social responsibilities are challenged
		SME4 (Fitness)	Community involvement, Philanthropy	-Free fitness sessions for charities for kids and elderly -free sessions for donation for church -donation of used/unused clothes - involve customers, employees and partners -insurance, encourage career development	Employee- invested, Top management support, Branding	Owner and, Customers	Time and effort and money
		SME5 (Consultancy)	Community involvement, Philanthropy	-community service (Clean the homes Annually) -Philanthropy (donation such as yard sales. Activities at 'Helping Hands' are bi-monthly activity)	Employee- invested, Top management support, Branding, Institutional compliance	Owner and employees	Time and effort and money
		SME6 (Consultancy)	Community involvement, Philanthropy	-Philanthropy (food donations on festive occasions to elderly in the community) - going 'Green''- less wastage, recycle, reuse etc	Institutional compliance and Top management support	Owner	-Time and effort and money -young employees could do more in volunteering
		SME7 (Digital Marketing)	Community involvement, Philanthropy	-free mentorship, training to employees to kickstart their own business, belief and practice work-life balance -adhere environmental policies -Philanthropy to community, pro-bono marketing skills to non-profits and volunteer work at least twice a year	Employee- invested, Top management support, Branding	Owner and employees	-CSR strategy needs redefining, more attempts to collaborate with other SMEs, stakeholders

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			- encourage customers to go digital so as to use less paper, environmental support			with same motivation to do good
	SME8 (Digital Marketing Consultancy & Training)	-Community. Charity, Volunteer work, mentorship etc. -Philanthropy (student sponsorship)	- support a couple of charities including HCSA Halfway House for their Xmas event - provide mentorship and sponsoring events for students. -environment friendly- digitalization via Google Drive, Google Sheets, e-signatures is how we work and have urged our customers to work with us. V	Employee- invested, Top management support	Owner	-tax exemptions could help more with their existing CSR initiatives
	SME9 (Consultancy)	-Community -Philanthropy -Digitalization towards being 'green'	- Engaging in charitable and volunteering efforts 6 times a year - eenvironmentally friendly activities such as reducing wastages -Safe and healthy work environment	-Top management support , Branding	Owner	-lack of CSR awareness,
	SME10 (Wholesale and Retail – eyewear)	-None- Startup less than a year -We employ people – and believe in above market rates of salary	None - *"But if the question is whether we as human beings have an obligation to issues and civil society greater than ourselves, the answer is absolutely yes"*	Employee- invested	Owner	-profit driven, CSR strategy needs redefining - Start up with limited resources
	Freight forwarding- SME11	-Philanthropy	-Sponsor sports tournaments. -Donation to worthwhile causes.	Employee matter, Top management support	Top management	-CSR strategy needs redefining, Profit driven,
	Food & Beverage- SME12	-inclusion criteria – employ people with disabilities -Philanthropy -environmentally friendly- go Green -community	-*"We employ a deaf person in our café as a barista and even sent her for hygiene and barista courses"* - *"We use environmentally friendly- plastic straws to metal straws and paper straws"* -*"We also donate to National Heart Foundation and World Wide Fund for Nature (WWF)"*	Employee- invested, Top management support	Owner, customers, employees	-Cost, -limited resources
	Auto repair- SME13	-Philanthropy - environmentally friendly	-donations to temples a few times a year -recycling	Top management	Owner	-profit driven and cost
	Education- SME14	-Philanthropy -environmentally friendly- go Green	-sponsored 4 students when realized they faced financial difficulties -environmentally friendly- recycling	Top management	Owner	-lack of CSR awareness -time and cost
	Fitness- SME15	-Community	-free talk on health and fitness, educating public, free health checks once a year	Top management, Branding	Owner- partners	-limited resources -csr strategy not aligned
	Auto repair- SME16	-Philanthropy -Community -environmentally friendly	-Temple donations six times a year -Recycling	Top management	Owner	-time

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	Finance- SME17	-Philanthropy -environmentally friendly	-Donations a few times a year to community causes -Recycling	Top management, Branding	Owner	-profit driven and time
	E-commerce- SME18	-community -Philanthropy	- SPCA (pet shelter), homes for the aged(Orange Valley), "Helping Huts"(ie drug rehab place for men from age of 18 onwards) every month – twice -"*our employees and their families are actively involved in our CSR*"	Employee- invested, Branding,, Top management	Owner, employees	-CSR lack of awareness (We don't seem to know where are the needy places. That information is not there. Owner feels there should be proper channel is not easily found)
	Consultancy- SME19	-Philanthropy- -community	-pro bono – *we run a training company and our clientele who needs more professional help in communication skill, Crisis management, interview etc we advise them further by giving our number or email to contact us and provide advices without charging them* -"*I deliver food to the less privileged in island wide program " Willing hearts".*	Top management	Owner	-profit driven ,poor leadership -tax benefits for SMEs in CSR are less
	Consultancy- SME20	-Environmentally friendly (waste management)	- None - "*Some of our customers, Mitsubishi Electric, Starwood- Sheraton hotels-international companies (businesses) are much larger than us and have CSR programs, and includes us in their CSR*"	Customers (large companies)	Owner	-time and size of firm
	Finance- SME21	-None	-None	Not motivated by their customers, suppliers from large financial institutions (Our suppliers are large financial institutions. They probably view CSR more favourably, not SME)	Owner	-Profit driven, lack of CSR awareness and no CSR strategy
	Environmental- SME22	-Philanthropy -employee health and safety and wellness - smaller carbon footprint by having more recycling	- We are currently engaged with various youth organisations with donation drives, fundraisers and educational tours for our recycling facility - We have in place employee insurance policies that cover our employees on their daily work, health and safety aspects and additionally other benefits and events tied in to their employment, which engages them in team bonding events, health awareness checks and other events.	Employee- invested, Institutional compliance, Top management	Top Management, Suppliers, Employees	-cost, time and effort -for sustainable CSR, more employees involvement is expected (The main barriers towards CSR would be the inability to sustain an

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Branch of CSR	Industry	Nature of business	CSR practices	Examples of CSR involved	Common CSR Motivators	Stakeholders	Barriers
							initiative due to burnout or a failure to rotate employees for a certain CSR project. Another shortfall would be the lack of finances especially for SMEs to cater to regular CSR)
		Environmental- SME23	-Institutional compliance (product and employee safety) -environmentally friendly	- "we educate our staff on usage of plastic products and the way to dispose them and we also ensure water is conserved and used appropriately as part of their training as new staff"	Suppliers, Employee- invested	Owners	-Lack of CSR strategy
		Education- SME24	-Philanthropy - community -Environmentally friendly	- "As an educational institution, we give free, or highly subsidised education, tuition to the needy individuals and self-help groups. Our annual scholarships can range anything between $100k and $150k." - "we support the children with disabilities" - "we also ask our employees to contribute to their own causes and let us know, so we can evaluate support as an organisation if found to be suitable" - Outstanding Enviroment Outreach Project Award "Yellow Flame Award", Schools Green Award, the highest award for higher education schools category	Top management, Employee- invested	Top management	-Leadership is important for CSR to continue
		Data analytics- SME25	-None -Digitalization to go Green- environmentally friendly	"We try to be as digital as possible, avoiding printing etc. We also have a small office to minimize our carbon footprint"	Branding	Owner	-time and effort(manpower)
		Construction _ SME26	-Philanthropy - Institutional compliance	-Donations yearly to community -Waste disposal	Branding, Institutional compliance,	Owner	-profit driven, Lack of CSR strategy, lack of awareness
Branch of CSR	Industry	Nature of business	CSR practices	Examples of CSR involved	Common CSR Motivators	Stakeholders	Barriers
Compliance	Highly normative	Credit rating- SME27	-Philanthropy - Community -Environmentally friendly -Code of Conduct,	- "community involvement programs involving our employees, board is to have good collaboration with our external parties (ie our beneficiaries/partners, non-profits " -"Fitness programs as mentioned where we provide for our employees as part of taking care of their welfare" - Code of Conduct addressed to our employees advocates fair practices.	Employee- invested, Institutional compliance, Top management	Institutional Compliance - PDPA- Code of Conduct Employees, Customers, Suppliers, Community	-CSR strategy needs redefining (if it brings value added and more employees to drive the CSR movement) - time, money and effort

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		Manufacturing- SME28	Employee and codes of conduct	-organize dinner for employees -find ways to recycle used rubber -dispose of chemical waste thru proper channels and absorbing the cost. -reverse osmosis in plant	Employee- invested, Institutional compliance, Branding, Top management	Institutions, customers	Profit-driven
		Shipping -SME29	Codes of conduct	-donations once a year --adhere to environmental , smoke emission	Institutional compliance, Top management	Institutions, customers	Lack of awareness
		Shipping- SME30	Codes of conduct	-donations - adhere to international tanker codes ITCO	Institutional compliance, Branding	Institutions, customers	Lack of CSR awareness
		Pharmaceutical -SME31	Codes of Good Practices	-due to clinical trials of drugs caring for patients(customers) from post-stroke - employee bonding activities - audited every 2 years	Employee- invested, Institutional compliance, Branding, Top management		Proft-driven, Lack of CSR awareness, CSR strategy needs redefining

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APPENDIX 1

INTERVIEW QUESTIONS

Company name

Years of operation
in Singapore

Main Activity of
business

Designation of   *Are you the Owner/Manager-CSR

Respondent (CSR)
                                             ☐Owner ☐Manager

 Number of
employees <200

The turnover per   Tick boxes:

annum (2017) of
your company: ☐ < $500,000 ☐ <$1 000,000☐ < $5 000,000   ☐ <$20,000,000 ☐
                          <$50,000,000

                          ☐< $100,000,000

1. Are you familiar with the term "corporate social responsibility "or CSR? What is your
    understanding of it? Please explain.

2. Do you think CSR is important to your company?

3. Do you have a designated person in your company who makes all the CSR decisions?

4. Do you think your company has engaged in any CSR activities? What are those activities?

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5. What policies that motivate and protect your employees does your company support?

6. What does your company do to take care of your customers?

7. Do you think your company's views on CSR is shared by your suppliers? What does your company do to make sure it is shared?

8. What does your company do to contribute to the community? How often in a year and in what ways?

9. What does your company do to ensure environmental friendliness?

10. What motivates your company towards CSR?

11. What are the main barriers towards CSR?

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7. Teaching and Learning

Cognitive development in the transition from higher education to work through the lens of Zone of Proximal Development: Interpretative Phenomenological Analysis

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7. Teaching and Learning

Cognitive development in the transition from higher education to work through the lens of Zone of Proximal Development: Interpretative Phenomenological Analysis

Abstract

Vygotsky's Zone of Proximal development has proved influential in many learning-oriented contexts, developing from its focus on children to encompass adult learning. There has, however, been less research into the implications of Vygotsky's work for university programs that prepare graduates for a specific professional context such as hospitality and tourism. This work in progress paper explores the transitional experiences of such graduates in Cambodia. Using Interpretative Phenomenological Analysis, this paper explores graduate employees' *potential* and *actual* development in the workplace, building on their university experience. Study participants achieved varying levels of development based on diverse learning experiences and opportunities at university, provided by employers and from peers.

Keywords

Zone of Proximal Development, Interpretative Phenomenological Analysis, learning, cognitive development, graduate transition, graduate employee, tourism and hospitality.

Vygotsky's (1987) concept, the Zone of Proximal Development (ZPD), has contributed to our understanding of the nature of learning and development (Breive, 2020) and the influence of social interactions on cognitive development (Eun, 2019). Although ZPD originally focused on childhood learning, it has also been applied to adult learning, suggesting that adults undergo a similar process (Tharp & Gallimore, 1988). It can help make sense of cognitive development from a socio-cultural perspective (Lourenco, 2012) within the family, school and workplace. It has been widely researched in psychology and education (Eun, 2019) and offers a framework for investigating professional development (Mcpherson-Bester, 2019), student work experience (Davies & Sandiford, 2014) and the transition from high school to university (Goggin, Rankin, Geerlings & Taggart, 2016). However, adult ZPD has not been adequately studied (Mcpherson-Bester, 2019).

This work in progress paper draws from an ongoing student research project that uses Interpretative Phenomenological Analysis (IPA) to explore tourism and hospitality graduates'

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transition from higher education to employment in Cambodia. The study explores graduate employees' work-based learning and development, using Vygotsky's concepts of *potential* and *actual* development. The paper provides a brief conceptual and methodological overview, before focusing on the project's initial findings to stimulate discussion on this important stage in graduate careers. This includes an outline of the next stage of the research and an invitation for comments and discussion.

LITERATURE

The ZPD refers to 'the distance between the *actual* developmental level as determined by independent problem solving and the level of *potential* development as determined through problem solving under adult guidance or in collaboration with more capable peers' (Vygotsky, 1978, p. 86). As learners' cognitive development depends both on their current capability and also on their *potential* (Wertsch, 1993), a holistic examination of their development needs to be three-pronged: the *actual* development, the *potential* development, and the move from one to the other. *Actual* development, or what a learner 'has and knows today,' (Vygotsky, 1978, p. 208) is the extent of what a learner knows about a certain subject matter (Campione, Brown, Ferrara & Bryant, 1984) 'in its finished form' (Wertsch, 2008, p. 67). *Potential* development, on the other hand, is more a matter of latency or 'an indication of the presence of certain maturing functions' which could be nurtured (Chaiklin, 2003, p. 43). *Potential* development builds on *actual* development within the ZPD (Meyerson, Haderxhanaj, Comer & Zimet, 2018) while influencing (and governing) the next level of *actual* development.

A child's ZPD emerges when social interactions between two individuals, the learner and an adult or a capable peer, initiate the development process (Wertsch, 2008). A ZPD can be indicated by learning opportunities such as 'modeling', or the provision of 'guided example in job or coalition environments' (Meyerson, Haderxhanaj, Comer & Zimet, 2018, p. 7) or other learning tasks requiring assistance (Tharp & Gallimore, 1988). Such zones are established by the interaction between prior learning and current developmental opportunities (Vygotsky, 1978). During development, when solving a problem with the assistance of other people, the learner imitates them not only immediately

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but also some time later without their presence, so the collaboration remains in an invisible form (Vygotsky, 1987). ZPDs vary widely (Vygotsky, 1987) as does a person's learning efficiency (Campione, Brown, Ferrara & Bryant, 1984), influenced by learning context and individual factors. When within the ZPD, instructions can help the learner develop to their *potential*; if such instructions are too easy or too challenging, they fall outside the ZPD, so are less beneficial (Vygotsky, 1987). When *potential* is actualised, this translates to a new *actual* capability (Vygotsky, 1978).

Transitioning from *actual* to *potential* to new-actual levels can involve four levels of interactions; the first three levels are situated within the ZPD (Wertsch, 2008). First, the child does not understand adult instruction to perform an activity; thus, when framing instruction, adult language must be tailored to the child, scaffolding learning rather than simply instructing. Instruction must fit with the child's *actual* development so that '*potential* for imitation' can emerge for further learning (Vygotsky, 1987, p. 211). Second, the child starts to understand the instruction after responding to parts of it. Third, after understanding discreet adult guidance and reassurance, the child can undertake the activity more confidently and independently. Transition from other-regulation to self-regulation begins here. Fourth, the child can now perform the activity with no assistance. The child language evolves to encompass the adult directive speech, completing a transition to actualised development.

ZPD has been increasingly applied to adult learning situations in a variety of occupational contexts, such as tourism (Stylidis, Woosnam, & Tasci, 2021), music (Hopkins, 2013), sports (Dehghansai, Headrick, Renshaw, Pinder & Barris, 2020; Stambulova, 2010), library and information (Fourie 2013), nursing (Kantar, Ezzeddine & Rizk, 2020; Williams, 2016), academic medicine (Groot, Jonker, Rinia, ten Cate & Hoff, 2020), engineering education (Abeysiriwardhane, Lützhöft, Petersen, & Enshaei, 2016), and information technology (Hung & Chen, 2001). Despite this, application to adult learning requires caution, if only because adult minds are likely to be based around considerably more life experience and may be less malleable than those of children (affecting both *actual* and *potential* development), as learners create and reinforce their sense of self (Warford, 2011), constructing their own unique frame of reference (Clapper, 2015).

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METHOD

The study is an interpretative phenomenological analysis (IPA). IPA is a qualitative research method that explores the lived experience of people and its meaning to them (Smith & Shinebourne, 2012). Transitioning from university to workplace, graduates live through significant contextual change, requiring them to make sense of their new lives. IPA allows for detailed examination of such lived experience, fitting well with the current study's focus on this challenging transitional period.

IPA has three theoretical underpinnings: phenomenology, idiography and hermeneutics (Smith, 2011). Phenomenology relates to the detailed investigation of lived experience (Smith, 2011) and the struggle to make meaning of it (Eatough & Smith, 2010). The study explores how a sample of graduates experienced the change in their new role of employee away from the safe university environment. By reconstructing their meaning making journey, it identifies and explores phenomena relating to the education-to-work transition and search for learning support in the world of work. This may occur through explicit or implicit support from colleagues, supervisors and trainers, replacing the learning scaffolding of lecturers, textbooks and course mates. IPA with its idiographic principle which emphasises the details (Shinebourne, 2011) recognises the subjective experience of individuals (Pagnini, Gibbons & Castelnuovo, 2012). Thus, analysis requires deep hermeneutic interpretation and analysis of individual cases, before any cross-case patterns of meaning and common experience are identified (Shinebourne, 2011). IPA is seen as a double hermeneutic because the researcher makes sense of participants' sense-making journeys (Smith, 2011; Smith & Osborn, 2008). The IPA researcher plays a dynamic role in the interpretive process (Neubauer, Witkop & Varpio, 2019), thus co-constructing, or at least structuring, the interview itself. Here, IPA allows the participants' interpretation of their transition to emerge from their own narratives, with the researcher interpreting their narratives within common contexts.

Relatively small samples in IPA are crucial when seeking richly idiographic narrative accounts, enabling researchers to gather data of sufficient depth to do phenomenological justice to the interview texts (Agarwal, 2021; McCormick, 2009; Smith, Flowers & Larkin, 2009). Eighteen Tourism and Hospitality graduates were interviewed via Zoom. Interviews were conducted in Khmer

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based around several open-ended questions, used as directional cues for participants to talk about their academic and work experiences. Interviewees were encouraged to talk freely, using *why*, *how* and silent probes. This radical listening was used throughout all interviews. Probes were used sparingly and cautiously, while the impact of the interview on participants was closely observed.

Interview transcription in Khmer contributed to data familiarisation and immersion as the first post-interview stage of analysis. The transcripts were then translated into English by the researcher. The analysis underwent various stages of eidetic reduction and grasping of the constitution of objects of cognition (Husserl, 1990). Eidetic reduction means 'bracketing all contingent matters, instead attending only to the essential features of experience and things as they are given in experience' (Smith, 2016, p. 18), therefore focusing on the essence of the phenomenon under investigation. At this stage, immersion through repeated listening and watching of the interviews allowed the researcher to live virtually through participants' experiences. Sifting through different situations later helped to locate some common forms of those situations. The final stage was to 'trace step by step the data… the simple and the compounded ones, those that so to say are constituted at once and those that essentially are built up stepwise' (Husserl, 1990, p.10). The data were refined into their *essence*, which could be seen as a sense of self that 'determines all the other particular features of the whole' (Davydov, 2008, p. 103). This analysis resulted in interpreted narratives, written to tell each participant's story from the researcher's point of view. Such narrative notes (Agarwal & Sandiford, 2020) developed into narrative essences which contain the extracted essence from each idiographic analysis. After several transcripts, patterns of similarity or differences began to emerge, seasoned with notable outliers (Smith, et al., 2009), contributing to insight into the transition of learning and development. All of the essences were further explored through a ZPD framework.

The next section presents three narrative essences illustrating the process and outcome of this analysis, in line with Smith's (2011) data presentation suggestions. This is followed by a discussion of the research's implications and an outline of the study's next stage. As a work in progress paper, this covers one phase of the research, rather than a completed study, seeking to stimulate discussion about the potential contribution to our understanding of the early experiences of graduate employees.

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Narrative Essence 1: Grace's Price of Convenience

'I have been told that at workplace, [we] do not always meet easy [-going] people; some are afraid that we are better, so they make it uneasy for us, but for her, it's not a problem'

Grace followed her passion for travel by studying for a bachelor's degree in tourism and a degree in English as a Foreign Language. During her studies, she worked part-time in sales and later as assistant to her supervisor in a Japanese company. After graduation, due to the Covid-19 pandemic, she could not find a job in tourism. She joined a health company on a temporary contract substituting for an employee on a maternity leave.

Grace had been warned of workplace challenges and was initially pessimistic. This led her to be vigilant when interacting with colleagues ('we are quite afraid of them, we need to be cautious'). She built a good relationship with a co-worker who guided her ('like an older sister… she helps out. We eat together… There's closeness although we know [each other] a short time… she is easy-going'). The job was undemanding, unsatisfying and she felt it was not a graduate role ('a network company… [customers] are mostly sellers… have much free time … not so happy… It feels like sitting and playing'). She perceived little chance for development ('I'm not sure if I know how to find the key to learn'). Because the job is temporary and she has little job satisfaction, she continued to search for a job more suited to her interest in travel ('I'm interested in… outside work… go to the community') and her desire to learn more ('[to] gain knowledge… experience in the workplace').

Analysis

Grace's *actual* development at the start of her full-time job consists of what she studied in tourism, her previous work experience and some workplace knowledge. Her studies at the university contributed to her *actual* development ('Soft skills, … English… computer [skills]… communication skills… to communicate with customers, with co-workers... what we learned was from this bit and that bit, making our way of life [and] ways of talking better… helps in our work, making us learn quickly, easier to grasp'). Her work for the Japanese company also helped her develop as she learned

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about company processes and trained in sales-related work ('study company policy and understand teamwork … contact customers… receive orders… similar to this new company. But over there, [I] learned a lot more because … [they] have [morning] meeting… to talk about policy and work … [for] the day …the next day'). Although she minimised her university's role in developing social skills, she learned about personal workplace interaction from senior students, helping her to behave appropriately when starting work ('at [university] not so afraid of people being angry with us… but when we come to work… something we are not familiar with, [we] need someone to guide us').

Grace has not developed to her *potential* at her current workplace although she learned how to perform her role through her colleague's training. Her peer offered instruction in her work and even completed some tasks for her ('When I don't know or understand, she advises what should be done and how to talk to customers. She helps [me]'). This points to level 2 of ZPD interaction, where a more capable peer supports learning, enabling the learner to gradually take responsibility. However, she found her job too easy and soon learnt to engage with this unfamiliar system ('not difficult… just learn for a little while'). Although Grace learned skills, this could not actualise her *potential* because her *actual* development level was beyond the level of the tasks required; the job and her peer's instruction served more as induction than occupational learning.

Narrative Essence 2: Paula's strange new place

'I started to feel nervous. A protocol officer must know everything, and I didn't even know where beverages were stored'

Paula's enthusiasm for relationship building led her to study tourism. After graduation she joined a film research group where she had previously volunteered. This was an opportunity to experience different work contexts, including being a protocol officer serving government officials during a major national festival. This was an unfamiliar environment for her ('I'd never paid attention to such events'). Because she came from an unprivileged rural background, royal events seemed

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totally alien to her. She was given no formal training, which surprised her ('I looked to the left and looked to the right, looked at linen and carpet, and I wore little low heels and… folded skirt… check the carpet if [I] would trip over it'). She took the initiative to observe and learn, as was her habit from a very young age. Paula played her role carefully ('I pretended to be normal, pretended that I was used to working for the government'). Her communication and observation skills helped her navigate complex situations, if unsure seeking assistance ('I ran downstairs… [looking for] someone who seemed likely to be the beverage manager… [I] said "Beverages have run out, please bring them"… they said, "Wait a moment, I will bring them for you"'). She even supported other protocol officers ('[the king's torch] was lost, no one knew who had taken it… [I] saw it was put at the back… I said, "Is that the handle?" They said, "that's it, the torch"… I felt excited to help') and noticed where royal protocol could be improved ('the way they provided hospitality was... too simple'). This role is similar to her experience in the research group, where she performed her tasks independently and sought assistance only when needed. This way of working and learning allowed her to feel close to the group and wish to stay, even if she finds a new job, as it is an opportunity for new and different experiences.

Analysis

Paula's *actual* development when beginning her job included relationship building skills developed during her university studies. This, combined with aptitude in verbal communication and confident proactivity enabled her to learn from the work environment ('I'm really good at speaking… In my family, no one talks. I talk alone… while observing [my teacher working as tour guide] I would just want… to know a lot of people'). Graduation symbolised her intellectual development in tourism, particularly in public relations and self-guided development ('getting out of university and applying the knowledge in my everyday life like relationship building, and… courage… to talk… to make decision… when a supervisor [is not] nearby').

Paula's *potential* development seemed limited by a lack of formal instruction in her role, yet she developed by proactively seeking guidance from more capable others. She expected to learn from other people, even without formal training and scrambled to figure out protocol tasks from others at

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the event, signifying informal peer, rather than official, instruction ('[I] took the time to ask [a palace protocol officer], "when you serve the water, where should I go?" Because I was from the [government] and she was from the palace, she said, "oh this side is palace, so it's mine, I will serve"… [So], I took the opportunity to disguise and serve at [palace] side to get to know people's faces'). During this curiosity driven proactive role-crossing, she was able and happy to help palace protocol officers, thus empowering her own *actual* development.

Narrative Essence 3: Daisy's Homogeneity

'*coming to this new place, I change more than before, quite more mature… in year 1 or 2, … a lot of stress… talking to friends, but … we all went in a circle, no one could save anyone*'

Daisy's English was good, so she began a bachelor's degree in International Relations. Later she changed to Tourism and Hospitality as this seemed more fun and offered travel opportunities. In year 4, Daisy began her first full-time job at a bank. After eight months, she left the bank to focus on completing her studies. She had other reasons for resigning, too ('I met too many customers…worked in many fields… job was very difficult… issues with peers… overtime [work]… not really have [a] mentor'). After graduation, she looked for a non-customer-facing job, and found one in human resources. Although she perceived this new workplace as similar to the previous one ('I felt that moving to a new place is not much different, meeting the same people, similar atmosphere'), this time she found mentors to guide her ('I have a lecturer and friends… at higher levels, so they know … They walk before me'). This time, she gained a deeper understanding of the workplace – the things to ignore and the things to focus on ('Some people, no matter what, never change… what is important is to know ourselves clearly, what type of people we get along with… what our goal is, do our work well, do not think too much… Soft skills are important; work practice will follow, but if our heart does not go forward, no matter how hard we push, nothing moves'). As her perspective shifted to a more positive one ('at my previous place… so much work that [I] decided to quit... Now… feeling

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that the more work… the more knowledge'), she starts to feel more mature and assured of a brighter future.

Analysis

Daisy's *actual* development when starting this position derived from both her studies and her experience working at a bank. Daisy's degree contributed to her *actual* development because she was confident about how she had applied her learning in her first job ('Listening to [lecturers made us] quick to adapt to all [situations]. What I have learned I can do it… we do not study … one thing for one field like chemistry, physics… we studied broadly, so we can do any work').

Daisy's time at the bank also contributed to her *actual* development. ('I handled nearly everything related to accounting… dealing with customers, the internal [people]… there are people who like us, those who [don't]… others' team, our team'). When facing challenges, her supervisor offered advice, yet it did not help her beyond a level 1 ZPD interaction because her supervisor (adult) did not talk in Daisy's (child's) language and she found the advice unhelpful ('no one told me, just that my supervisor was there, telling [me] to "bear with it"'). He was probably unaware of her development needs, assuming she was familiar with social workplace contexts, while she struggled to normalise her experience; his statement was more of a consolation than an instruction.

Daisy's *potential* development during her second employment was also framed by previous university and work experiences. Although instruction from colleagues and management team catalysed her development, the foundation of her degree represents a key scaffold on which it was structured. Figuring out patterns of interpersonal relations at both workplaces cultivated her workplace attitude and modified her behaviour. This indicates independent problem-solving and the ability to develop her *potential* through a conceptual framework that helped her socialise herself ('wherever [we] go, [we] always meet these kinds of people, so we need to accept that they are like that. Do not mess with them and focus only on our work... In the past, [I] didn't think that way'). This development was also influenced by her co-worker/more capable peer who supported her ZPD learning ('he is open, and he helps out. He tells… what the problems are, making us understand first,

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then he tells how to do it and asks us back if there is a better way than this… asking … different questions to make us think and he does not leave us alone'). This approach helped him to learn Daisy's language, enabling him to adjust his own to ensure understanding. This resembles a level 1 ZPD interaction. As a result, Daisy sensed development in herself, feeling more mature ('[I] realise I [thought] in a childlike manner [in the previous job]… [I] think that I am more mature than before… since working here'). She learned from a peer who had found his own place in a fractured environment ('he is independent… he has a team, but he also gets along with other teams too, in a way that is not partisan.'), and thus can integrate herself, physically and mentally into the workplace. So, Daisy has furthered her development with informal support from her colleague and from her management team whose instructions emerged within her ZPD. These two sources of instructions continue to contribute to her sense of maturity.

CONCLUDING DISCUSSION: Potentiality is the missing link

Analyses of narrative essences help make sense of the nature of learning and development in these participants' transitions through a ZPD lens (Vygotsky, 1987). Focusing on *potential* development as a key aspect of graduate employees' learning about their current and future work helps conceptualise their overall capability in a more nuanced way than simply focusing on existing capability. In other words, an effective education is crucial to setting a framework, or scaffold, for future workplace learning. So, although requiring workplace experience, graduates like these are more confident and able to seek peer-support and self-empowered observation and reasoning, even when formal instruction is lacking – their *potential* can be, itself, enhanced by a university education.

ZPD emphasises interactions between past, present and future (Stambulova, 2010), seeking to develop well-rounded individuals. As Vygotsky (1987, p. 211) posited, 'it is important to determine the lower threshold of instruction… [and] to determine the upper threshold of instruction. Productive instruction can occur only within the limits of these two thresholds.' One challenge for practitioners is to explore how to influence their employee's upper threshold (*potential*). Effective development

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within a workplace helps employees envisage their development opportunities, while requiring awareness of this *potential*. This resonates with Lave and Wenger's (1991) community of practice, where learning is both 'a process of socially shared cognition' and 'a process of becoming a member of a sustained community of practice' (Lave, 1991, p. 65). Thus, formal and informal learning opportunities, supported by peers' expertise enable newcomers to develop and grow as members of a community of practice (Jawitz, 2009).

Participants showed positive attitudes to development but were frustrated when challenging learning opportunities were lacking. The focus on development may contribute to interpersonal, occupational or even organisational loyalty as employees grow into a role. This is a key consideration for employers who may believe recruiting more experienced talent reduces the need for training; such a strategy would likely exclude recruits with much greater *potential*. Thus, work environments can provide a launching pad *or* a stumbling block for recent graduates lacking in experience; appropriate support and learning opportunities enable graduates to capitalise on their *actual* ability and available assistance to develop themselves towards their *potential*. Both independent and assisted learning are crucial to improve performance and strengthen connections between employee and workplace. Thus ZPD, by promoting collaborative learning environments, contributes to curriculum design supporting graduate work readiness and to employment practice in on-boarding, training and development.

The next phase of the research will continue to focus on participants' development through a ZPD lens, exploring how far their studies contribute to their occupational development. Interview analysis will continue, increasingly drawing from individual essences, interpretations and analyses to gradually explore cross-case phenomena, taking care to maintain idiographic depth and focus. As this continues, the researcher will catch up with participants, to track progress in their ongoing transitions.

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03. Exploring Dignity Experiences of Migrant Workers in India
Abstract Only in program

EXPLORING DIGNITY EXPERIENCES OF MIGRANT WORKERS IN INDIA:

TOWARDS A CONCEPTUAL MODEL

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EXPLORING DIGNITY EXPERIENCES OF MIGRANT WORKERS IN INDIA:

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Abstract

Dignity at the workplace is perceived and explained in multiple ways across subjects, geographical areas, and work categories. The current study attempts to capture the lived-in experiences of migrant workers and find a standard narrative about the nature and the structure of dignity. Primary data was collected through interviews of 18 immigrant workers. Analysis of words in local languages and metaphors indicated that migrant workers define dignity in terms of self-recognized and other-recognized.

Thematic analysis of the interviews identified three major themes: innate dignity and acquired dignity. Innate dignity is a universal expectation. Acquired dignity is developed through 'fair treatment,' 'respectful interaction', 'rewards and recognition,' and 'opportunities and autonomy' the subject receives at the workplace.

Keywords: **Dignity at Workplace, migrant workers, content analysis**

INTRODUCTION

Dignity is defined as "a principle of the highest importance" for firms along with profitability and sustainability (Waldron, 2012). Dignity becomes an essential requirement of meaningful work (Kostera and Pirson, 2016) and is an integral component of humanistic management discourse. Focusing on dignity will allow companies to be "organized more humanely and to be able to create a space where individuals flourish and will work in an intense and soulful way" (Bal, 2017). However, dignity as a concept is understood in multiple ways. Conversations about the nature of dignity have been varied across disciplines, worker categories, and geographical regions. Religion has primarily considered dignity as an entity everyone is born with and everyone is entitled to (Pirson et al., 2016). The law discusses dignity as something equal to all and must be ensured to all irrespective of the differences (Higa, 2016). Nursing/medicine defines dignity more in terms of behavior, and the field explores how definitions and expectations of dignity by different groups (Bridges et al., 2020; Nazarko, 2019). Different philosophical schools of thought have perceived and explained dignity in varied and conflicting ways. Aristotle suggested that dignity is only achieved by

those that live up to the practical ideal of excellence (Nussbaum 1998a). Karl Marx and Webber argued that everyone has innate dignity. Kantian philosophy summarized both perspectives and argued that every human being has dignity (Würde), but only those who lead moral lives deserve the praise of personal ethical values (Waldron, 2012).

In comparison, management studies have given little attention to the concept of dignity. A major reason for researchers' lack of interest in dignity at the workplace might be its similarity with other constructs like self-esteem, organizational respect, and equality. However, a study conducted by Thomas & Lucas (2019) proves that 'dignity at the workplace' explains variance in workplace outcomes above and beyond similar variables. Currently, the widely accepted definition of dignity at the workplace is given by Lucas (2017), who defines it as 'the self-recognized and other-recognized worth acquired from (or injured by) engaging in work activity. Understanding dignity properly is essential in protecting dignity. Hence, there is a need to develop alternate conversations on definitions of dignity at work, as dignity studies worldwide have shown variances with changing geographical regions.

Since the significant share of dignity theory building has happened in the west, there is a "need to find alternative concepts of human dignity" (Santos et al., 2005). Also, synthesizing studies in various other disciplines and understanding dignity specific to workplaces will probably not answer specific workplace questions as every field understands and explains dignity differently. Hence, detailed empirical studies on working populations are needed to extend conversations in dignity. Also, most studies have been done on white-collar workers, with very few studies done on blue-collar workers. There exist no Indian studies that have considered the dignity experiences of migrant workers. Since the issue is not resolved in the literature, the current study intends to establish a clear definition of dignity at the workplace by exploring migrant dignity experience, which can be used as a standard for future studies. As such, two specific questions guided the study-

1. How do migrant workers define dignity at the workplace?

2. How do migrant workers acquire dignity at their workplace?

METHODS

Exploratory research is most useful when limited information is available and the researcher wishes to explore research areas (Cooper & Schindler, 2006). The qualitative method is adopted as they help to "understand a situation that would otherwise be enigmatic or confusing" (Eisner, 1991). Since the research intends to understand the experience of dignity at the workplace, an Interpretivist/constructivist approach that best helps understand "the world of human experience" or "social reality" is adopted for the study. (Bryman, 2008). This study aimed to explore and describe how employees working in Indian workplaces define and acquire dignity.

In-depth Interviews

In-depth interviews were to gain deeper insights into the participants' experiences (Hair et al.,2015) by letting them discuss freely and elicit a detailed response (Davis, 2000; Stokes and Bergin, 2006). An Interview instrument was developed to aid the process of the interview. After IRB approval, the interviews were administered to migrant workers working on a university campus to understand the response of the target population. Based on the response, necessary changes were made to the interview protocol. The final interview protocol is given in Appendix 1.

Participants

Migrant workers in the manufacturing sector were selected as the population group since there was enough literary evidence that indicated migrant workers in manufacturing are most prone to a threat to dignity (Coe, 2016). Migrant workers are often targets of dignity threats and objectification at work (Apostolidis, 2005) as 'they feared speaking out would lead to a termination of their position' (Stuesse, 2010). Hence, sample inclusion criteria were developed that identified migrant workers in the manufacturing sector with a minimum of 2 years of experience as a migrant worker. Participants were identified from a pool of workplaces in the Kollam district of Kerala state, India. The selection of the

Kollam is based on the concentration of migrant workers in different construction sites of the district and convenience.

The researcher took the help of the local people to find out the construction sites where the migrant workers are working and the places where they are living. Out of those, three places were selected randomly as a pool of prospective samples. They housed a total of 128 migrant workers. Out of a pool of 128 perspective samples, every sample was selected in a way that maximum variability is ensured from the preceding sample in terms of age, the region he is coming from and years of experience. Before conducting the interviews, employers of all three establishments were contacted, and the purpose of the research was explained. The employers assured full cooperation in exchange for the condition of anonymity. Hence, workplaces are named Workplace 1 (WK1), Workplace 2 (WK2) and Workplace 3 (WK3) hereafter.

Eighteen all male participants were recruited, who belonged to five different states of India. The age range varied from 21 to 40, with an average age of 29.2. The participants' experience varied from 2 years to 14 years, with an average experience of 6.2 years. No women participants could be recruited as the entire participant pool of employees working in all three workplaces did not have any women immigrant workers. It is a common trend seen in the migration of women workers in blue-collar manufacturing jobs. (Peter et.al., 2020). It is primarily men, most often many from the same village, who migrate to another state, leaving their wives and children in their hometown. The participants spoke seven different languages. Demographic details are given in Table 1, and detailed information per participant is given in Appendix 2.

---Insert Table 1 Here--

Data Quality

Data quality is ensured by addressing reliability, validity, and procedural bias concerns. The data was coded by the second researcher, who was not part of the data collection. The external validity of the data was ensured by collecting data until theoretical saturation has happened. The study's internal validity

is strengthened by using probe questions to clarify the intended meaning of the participant's responses (Saunders et al., 2016).

Data Analysis

To convert the data into evidence (Yin, 2011), we employed grounded theory, which offers a method of systematic structuring (Charmaz, 2006). Drawing on the Straussian approach (Corbin and Strauss, 2008) of grounded theory, we conducted content analysis and developed relevant themes from the codes. Data analysis software ATLAS.ti, version 8, was used for qualitative data analysis. Local words for dignity were explored to understand the general idea of dignity at the workplace across the sample group. The words were analyzed by native language experts, who translated those words into English. Metaphor analysis is used to understand the general nature of construct conceptually. Content analysis was done to understand various underlying themes. Theoretical frameworks were developed from the themes. The first-order themes were linked to clusters of second-order concepts. At this stage, the second researcher, who was not part of data collection, recoded the transcripts. Inter-coder reliability was over 80% signifying a high level of agreement amongst the coders.

RESULTS AND DISCUSSION

Analysis of words in local language

The researchers realized the need to have a basic framework before exploring the otherwise enigmatic construct of 'dignity at the workplace'. Hence, the interview guide's components asked, 'what word will you use to describe dignity in your native language?'. Workers spoke five different languages and gave six words that they felt are the best synonym for dignity in their mother tongue (Table 3). Those words were translated to English by three experts of the native languages, and translations were spread across a spectrum of words like worthiness, decency, civility, respect, honor, self-dignity, self-esteem, valuableness, correctness and properness. This exercise gave us the idea that dignity at the workplace could be an umbrella term.

---Insert table 2 Here---

Developing a general idea about dignity at the workplace

Metaphors often act as mental models to understand the world by relating complex phenomena to something previously experienced and concrete. Hence it becomes beneficial in understanding subjective experiences. Metaphors give researchers an orientation to their study and help in its presentation (Schmitt, 2005). Out of 18, 14 participants came up with a metaphor. The metaphors were analyzed in light of Moser's (2000) methodology of metaphor analysis, which uses content analysis on categorical data to develop relationships. The metaphors from participants were categorized into two generative categories, namely core idea and viewpoint (Table 4). Generative categories 'provides a set of assumptions that establish a way of seeing' (Vadeboncoeur and Torres, 2003).

The value and worth of an individual were the most common core idea that metaphors reflected. Apart from worth, core ideas reflected by the metaphors were that of respect, recognition, individual attribute, and virtue (Table 4). Taking a cue from the insight, dignity is understood as a sense of worth or value an individual feels at his workplace. Also, metaphors were presented as either self-earned or other recognized. **Hence, dignity is understood as a value that is self-recognized as well as other recognized.** This definition fits well with the broad definition that Thomas & Lucas (2019) gave to the workplace's dignity.

---Insert Table 3---

Content analyses

Content analysis by the primary investigator identified 167 different codes (Table 2). These codes were grouped into subthemes and subthemes into two prominent themes. Content analysis of interview transcripts indicates that dignity can be understood in terms of two basic components of workplace dignity: innate dignity and acquired dignity (Figure 1). All the themes are discussed in detail below

--Insert Table 4 Here--

--Insert figure 1 here--

Innate dignity

Innate dignity is defined as a sense of dignity common to all independent of subjects' merit and is earned by birth. Many participants from group 1 described how they think dignity is a value individual are born with. Participant S.U (Initials provided in order ensure the anonymity of participants) opinions during her interview that *"There is a basic dignity that stays throughout their life",* a similar concept that another participant N.S. also spoke about- *"I believe everyone has to be given dignity irrespective of the job role he holds. After all, everyone is a human being, and everyone's job has its importance".*

Participants affirmed the presence of innate dignity, through statements like *"See, I believe we should get dignity as human beings. We are also a living human being, who is earning, not keeping our wife and children starved, we also deserve dignity at equal terms"* (J.K). Participant MA explains why he believes everyone deserves equal dignity, irrespective of his job and position-*"It is not that we have done anything wrong. We do hard work; we do to best what we could do".* Hence, we concluded that irrespective of the class, workers believe an innate dignity should be honored.

Many studies support the presence of an innate component of dignity. Resnick and Suk (2003) explain that the protection of innate dignity has been the basis of lawmaking. Some studies had defined dignity as innate, inalienable and "incarnated" in persons, is inviolable, and, at the same time, applies to all human beings (Pelaez, 1995; Vanlaere & Gastmans, 2011).

Acquired Dignity

Acquired dignity is acquired and nurtured through the treatment an employee receives in his/her workplace.

Respectful Interaction

Respectful interaction from all three levels, namely seniors, juniors, and customers, contributes to the sense of dignity at the workplace.

Seniors-

Respectful interaction from seniors becomes much more critical with migrant workers, as most often these workers have just one employer above them, who decides on pay, job, job security and every other matter related to his job. P.R explains why he does not shift to any other workplace- *"See, I am working in the same place for seven years. I do not feel like going to another place because I am treated with dignity here. I feel so because there is consistency here. This means that every day there is job. Even if there is no job in our place, our employer will take us to other places and ensure that we get our daily income. So for me, that best thing and that is giving dignity.".* The sharper experiences of dignity threats, both verbal and physical, from their seniors were more seen in migrant workers. The code of 'verbal abuse' was so frequent that it almost felt like part of work culture. S.O. explains, *"Whenever the boss talks bad, we do not like it. For example, when they give gaalis[1], especially about our mother and sisters, we feel bad. Means, if we were in some other job, probably he would not have used those words. Even for fun, they use such words, like it's their right to abuse us. That reduces our sense of dignity."*

The impact of the boss or senior behavior on employees has been studied earlier and found to have significant effects. A study by Mosadeghrad & Yarmohammadian (2006) on employee job satisfaction found that employees demonstrated more satisfaction with senior's leadership styles in comparison to salaries and promotions. Bonner et al. (2016) also found a significant relationship between supervisor behavior and employee behavior.

Juniors- Many participants shared how dignity at work is derived from the respect and reverence their juniors exhibit. N.A explains- *"I came here for a long time. The guys who work with me are largely younger*

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[1] Verbal abuses

to me. They come to me for anything. They won't talk to me without the suffix bhaiyaa[2]. if they have any doubts, they come to me. Now, this is what dignity is right?"

Dignity studies haven't focused on junior employee interactions as a source of dignity at the workplace, though Julian & Fiona (2005) found junior employee behaviors have an effect on employee commitment and motivation.

Customers- K.K. explains that adverse treatment from customers can hurt dignity to the extent that it can even lead to job change- *"I was working at a site, the levelling was not happening properly. So, the owner of the house came and became angry and abused one among us. That was very insulting; we felt our dignity take a hurt that day we decided we will not be working anymore there and came and joined here in this place".* Studies indicate that faulty or dysfunctional customer interactions can often lead to physical, emotional and psychological harm to the employees (Daunt and Harris, 2012) and can lead to employee turnover via employee stress (Gong & Wang, 2019)

Rewards & Recognition

The frequency of codes that indicated experience of rewards and recognition was significantly less compared to other factors, even though existing literature emphasizes the role of rewards. This has to be attributed to the fact that the daily labourers are paid a fixed amount at the end of the day irrespective of the quality of the job, and there does not exist any reward and recognition mechanism in informal blue-collar worker categories. But instances of recognition by superiors give a significant dignity boost to blue-collar employees. P.R. explains- *"I used to have a boss from Odisha. He used to give me a lot of dignity. So much dignity that whatever be it, he used to share it with me. Whenever a new guy joins, he was sent to me to teach him how to do work. He used to tell me that all these new guys, are your responsibility, you need*

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[2] Elder brother

to teach them. He had 200 people working under him, still he recognized me, gave me more responsibility. And whatever he said, I have followed it that way. So I feel he gives me a lot of dignity".

Literature indicates that rewards and recognition have been found to affect various positive organizational outcomes like job satisfaction (Kumari, 2011), motivation (Teresa, 1993) and workplace attitude (O'Neill and Mone, 1998).

Autonomy & Opportunity

This refers to the extent to which an individual gets opportunities to showcase his ability. Autonomy and opportunities are often associated with employee outcomes. Some of the voices that helped us develop the autonomy and opportunity were-

"When you are given independence and freedom to function as you want, I mean the flexibility that is given. There are two things- if you are in an environment of micromanagement, you will not feel like working. It will only get on to your nerves. So, when you are given that freedom, that flexibility to make decisions, that gives you the sense of belongingness, which in turn gives you that dignity."

The frequency of autonomy and opportunity is less in comparison to other sub-themes in acquired dignity. However, the literature supports the notion that autonomy is relevant to how the workers strive to create dignity (Rodriquez, 2011). Some studies also identified that dignity is invoked in relation to personal autonomy (MacKinnon & Siegel, 2003).

Fair Treatment

Fait treatment was the most prominent sub-theme that evolved out of migrant worker interview analysis. One of the ways blue-collar employees defined fair treatment is by getting fairly paid. This extremely important as migrant workers have a family back in their native place, and most often, the family is entirely dependent on them as a source of income. Most of the workers consider it a matter of dignity that they can take care of the needs of their family. N.A. explains- *"See, I made money from Kerala. All my*

children are living happy. They are eating at time. Eating enough. What more do I want from my life. This is my biggest achievement". Because of this, regular and fair payment evolved as an essential factor in the perception of fair treatment.

Apart from fair pay, fair behavior at the workplace is also essential. As GA opinioned- *"Money everyone earns, but what matters more is how the person is treated at his workplace right?".* J.A. explains- *"What I feel better at my current worksite is that my boss treats me with dignity. If I make a mistake, rather than shouting at me, he tells me what went wrong and how to do it right. That's what I feel dignity is. Nothing derogatory has never happened yet. For me it in itself is dignity".*

Fair treatment is a crucial dimension of dignity at the workplace and acts as a hygiene factor in the workplace. Dignity at the workplace model of Thomas & Lucas (2019) has considered it a dimension of dignity.

Overall, workplace dignity is conceptualized as a combination of innate dignity, ascribed dignity and acquired dignity (figure 1).

Limitations and way forward

The major limitation of the study is the sampling of the study. Even though the researchers have taken necessary steps to include varied samples, the variability could be brought only for few factors, not more. There are no women participants in the study, which is attributed to the absence of women laborers in blue-collar jobs in manufacturing sectors. There are many reasons for their absence. One, these jobs are largely physical tasks and largely employs male workers. Also, the employers prefer not to have women employees as accommodation arranged for migrant employers is shared. There are no older employees in the sample, as a general pattern the researchers observed is that the blue-collar workers migrate to make money, and after working for few years, prefer going back to their native villages. All the three workplaces identified by the researchers did not have any older employees, which might affect the studies' generalizability.

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Defining dignity is highly critical in addressing migrant workplace dignity issues, and this study gives a conceptual understanding of dignity at the workplace. Moving forward, studies that capture and assess the experience of workers across gender, countries, race can also be conducted to extend the conversations in humanistic management.

Conclusion

Analysis of words in local languages indicates that dignity is an umbrella concept that could be self-recognized, other recognized and context recognized. Metaphor analysis indicated that participants view dignity as worth, either self-developed or attributed to us. After content analysis of interview transcripts, it is proposed that dignity at the workplace is derived through an individual's innate dignity and acquired dignity. Innate dignity is common to all and is independent of the subject's merit, whereas an individual acquires 'Acquired dignity' through interactions at the workplace. The findings are initial steps to map and explore how blue-collar workers conceptualize dignity. Understanding dignity is the first step in giving dignity. The findings of the study can be equally important for practitioners who work with the blue-collar workers, as well as researchers who wish to explore the area. The effect of dignity on other relevant workplace cannot be explored more as there are no measurement tools to quantify them. The model developed by the study can be used to develop scales to measure and quantify effects of dignity at workplace among blue collar workers.

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TABLE 1

Indicating characteristics of samples

Age Categories	25-29	30-34	35-42
	10	4	4
Gender	Male	Female	
	18	0	

TABLE 2

Indicating Code Structure of migrant workers

Total Codes Identified	Code Groups Created	Code groups after Intercoder Agreement	Sub-Themes	Themes
168	Innate Dignity (15)	Innate Dignity (15)	Innate Dignity	Dignity at Workplace
	Ascribed factor (34)	Ascribed dignity (34)	Ascribed Dignity	
	Autonomy (1)	Autonomy & Opportunity (4)	Acquired Dignity	
	Opportunities (3)			
	Equality (12)	Fair Treatment (54)		
	Fair Treatment (42)			
	Competence (7)	Competence (7)		
	Recognition and (4)	Recognition & Appreciation (6)		
	Appreciation (2)			
	Respectful Interaction (48)	Respectful Interaction (48)		

TABLE 3

Local words migrant worker participants coined to describe dignity and their literal English translation.

Words in Local language	Meaning of the words in English
Ijjat (Hindi)	Prestige/ Reputation
Swabhimaan (Odia)	Self Respect/Self Esteem
Morjada (Bengali)	Prestige/dignity/Honour
Mansomman (Bengali)	Self respect

Marjyoda (Assameese)	Honour/Self-dignity
Maryada (Hindi)	Properness/correctitude
Kauravam (Tamil)	Honor/ Dignity

TABLE 4

Indicating various metaphors, categories and perspectives identified.

Metaphors	Code idea	Viewpoint
An arranged marriage where you have to give respect to each other even if you don't know what the other person is	Respect	Interactive
"Its not just the lion that's king of the jungle, even mouse can be king of the jungle."	Sense of value	Other recognised
"Man with dignity is like a diamond in the garbage. He will get his credit no matter what."	Worth	Other recognised
Dignity is like elephant in jungle. They are huge, strong, powerful, but same time doesn't exhibit that on others always"	Individual attribute	Self earned
"Ant that does work above its limit gets dignity".	recognition	self-earned
Dignity is like lion in jungle. The most important thing in the jungle"	Most Important	self earned
its like an umbrella, that keeps you dry from getting drained in negetives of a workplace	virtue	self earned
it's a crown in your head. Like its very hard to get that crown, but once you have that in your head, everyone will give you respect	Status	other recognised

dignity at workplace is like accepting foodchain. Like every animal, smaller or lower has its importance.	Value/worth	Other recognised

FIGURE 1

Indicating dignity at workplace structure
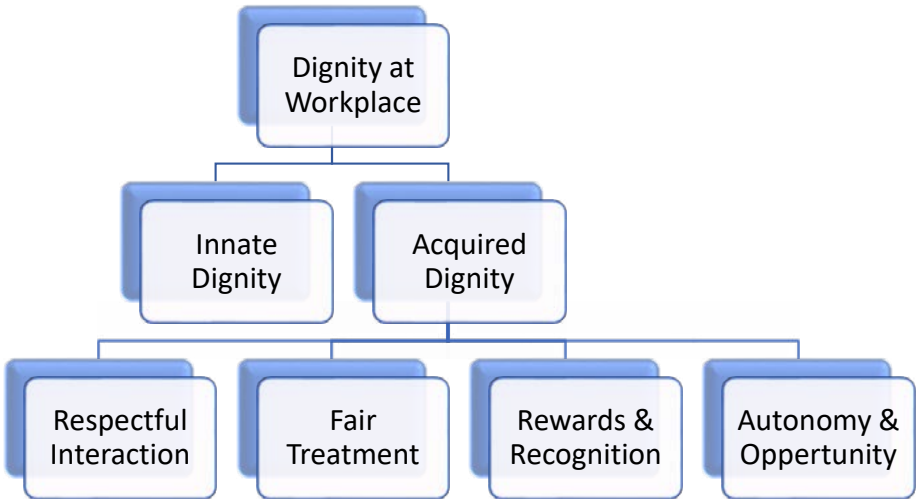
APPENDIX 1

Interview guide used for qualitative interviews

03. Exploring Dignity Experiences of Migrant Workers in India
Abstract Only in program

Interview Guide (Dignity at Workplace)
1. Please tell me something about you.
2. When you look back, what are some high points in your life?
3. Are people born with dignity ?
4. Do they acquire dignity? How? Please share your experiences. Who are those at your workplace, you hold in high dignity and why?
5. In a typical day at work, what/who makes you feel dignified?
6. In a typical day at home, what/who makes you feel dignified?
7. Who are those at your workplace, who look up to you as dignified and why?
8. Any instances at workplace, that you recall as treating you with dignity. a. What was the incident? b. Who were involved c. How did you resolve /deal with the incident (USE STAR – Situation, task/people, action, result).
9. Any instances at workplace, that you recall as not treating you with dignity. a. What was the incident? b. Who were involved c. How did you resolve /deal with the incident. (USE STAR – Situation, task/people, action, result).
10. What word will you use to describe dignity in your language.
11. If you were to describe it to someone using an animal/object , how would you do so (Metaphor)
12. Else- can you narrate a story /statement that described dignity in your language.

10. Public sector, NGOS and Not-for-Profit
Full publication

REGULATORY COHERENCE OF ASEAN BANK GOVERNANCE:

Corporate Governance Indices Measurement Approach

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REGULATORY COHERENCE OF ASEAN BANK GOVERNANCE:

Corporate Governance Indices Measurement Approach

The ASEAN Banking Integration program aims to enable banks to operate freely and receive equal treatment as local banks across ASEAN. However, due to the lack of harmonised banking regulations, such as corporate governance guidelines, banking integration is limited to reciprocal bilateral agreements. This policy research used an analytical framework based on the Basel Committee on Banking Supervision's Corporate Governance Principles for Banks to identify gaps across the ASEAN. The assessment methodology was to develop database of government regulations and using criteria from BCBS to construct governance indices that were analysed using scalogram and univariate data indicators. The results suggested that governance rules were diverse across all the ASEAN. Also, levels of countries' compliance with the BCBS's principles were varied.

Keywords: ASEAN banks, bank governance, governance indices, BCBS's principles.

1

1. INTRODUCTION

The ASEAN integration program aims to establish an ASEAN community comprised of three pillars: ASEAN Political-Security Community, ASEAN Economic Community (AEC) and ASEAN Socio-Cultural Community (ASEAN, 2015). Economists believe the AEC integration that started in 2015 to have a profound effect on regional growth spurring the growth of member countries through capital account liberalisation, capital market development, and financial services liberalisation (ASEAN, 2015). There are several initiatives under the AEC integration program. One of them is the ASEAN Banking Integration Framework (ABIF) that was initiated to facilitate capital market development and financial service liberalisation (ASEAN, 2018). Banks are expected to operate freely and receive equal treatment with local banks within the host countries (ASEAN, 2018). However, the difference in the development level of every single member's banking system and the absence of standardised principles such as bank governance guidelines restrained the banking integration (ASEAN, 2018). Furthermore, due to the lack of banking regulatory coherency, such as corporate governance guidelines, the current banking integration is limited to reciprocal bilateral agreements. This means that the arrangement is at the bilateral level where two countries set rules that allow banks to operate in each other's territory. Rules are based on negotiation, and not all banks are approved to operate across borders. Banks must apply and meet certain criteria required by the host country. The successful bank is regarded as a "Qualified ASEAN Bank" (ASEAN, 2018).

In order to deepen the banking integration, ASEAN needs to progress to the multilateral agreement stage that would allow ASEAN-wide banking integration, meaning that all banks from the ten member states can conduct businesses in preferential countries across the ASEAN. However, the multilateral agreement stage would require the readiness to engage across the borders in terms of regulatory infrastructure, and especially its regulatory coherency, for instance, prerequisite coherent banking regulations such as minimum capital requirement, asset composition and classification, liquidity position, mandatory report requirements, governance guidelines, etc. Among these components, a bank's governance guideline requires a substantial effort at convergence across the sector as there is a major

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asymmetry of bank governance standards and practices across the ASEAN countries (Razook, 2015). Despite economic and financial globalisation, not only in the ASEAN economic community but around the world, corporate governance is still remarkably different across countries (Guillen, 2000).

2. AIM OF THE STUDY

Banks' governance rules are highly sophisticated compared to non-financial firms with some aspects are mandatory and some are voluntary based, therefore, it is fundamental that the convergent effort begins by understanding the current governance framework of each country, identifying the common and different (gap) rules, and measuring the level of practices in each country. This study aims to achieve these goals by identifying and assessing the gap in bank corporate governance guidelines across the ASEAN countries based on the Basel Committee on Banking Supervision's (BCBS) Corporate Governance Principles for Banks. It is noted that BCBS's principles are the universally accepted governance guideline for banks. BCBS[1] is comprised of 45 members, including G20 countries except for South Korea and is the primary global standard-setter for the prudential regulation of banks.

The research questions addressed in this research were: what current governance frameworks operated in each country? To what extent did the regulations of the banks in each country comply with the BCBS's Governance Principles? How could the level of governance practices in each country be measured and compared? Which countries had gaps in their bank governance regulations? How did they agree or disagree?

3. THE ASEAN BANKS SUPERVISORY AND GOVERNANCE FRAMEWORK

After the 2008 global financial crisis in ASEAN and everywhere around the world, the latest consensus in the banking sector was the need for regulatory reform of financial sector oversight. The spearhead of the reform should focus on an appropriate institutional design that must be fit-for-purpose and that helps both crisis prevention and crisis management (Calvo, Crisanto, Hohl, & Gutierrez, 2018). As such, the structure of a supervisory institution has shifted to a more purpose-based arrangement. The Financial

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[1] The ASEAN's Singapore and Indonesia are members, while Malaysia is an observer of the committee.

3

Stability Institution (created by the Bank of International Settlement and Basel Committee on Banking Supervision) has classified financial supervisory arrangements into three different models: supervision of individual sector, an integrated model and a partially integrated model. (Calvo et al., 2018). Banks are regulated under a single prudential and business-conduct supervisory authority in the sectoral model. Another authority supervises insurance companies and the third authority has mandates to ensure discipline and integrity of security businesses and markets (Calvo et al., 2018). Alternatively, in an integrated model, a central bank or a designated supervisory authority is responsible for the oversight functions of all three sectors (banking, insurance and security) (Calvo et al., 2018). Another model is the partially integrated model. This model falls into two different categories. The first category (Twin Peak) would serve the objective of the supervisory responsibility itself, and the second category (Two Agency) would serve the objectives of the sector (Calvo et al., 2018). An example is the Australian Twin Peak model, in which the Australian Prudential Regulation Authority (APRA) supervises the prudential regulation of banking, insurance, and superannuation institutions; the Australian Securities and Investments Commission (ASIC) is responsible for market discipline and integrity and consumer protection in the whole financial system. Meanwhile the Reserve Bank of Australia (RBA) oversights payment regulation; the Australian Competition and Consumer Competition (ACCC) is responsible for competition policy; and the Australian Transaction Reports and Analysis Centre (AUSTRAC) supervises anti-money laundering and counter-terrorism financing regulations (APRA, 2019).

The two Agency model is seen in France, Italy, Malaysia, etc., where one authority is responsible for the prudential supervision and business conduct of banks and insurance companies. Another authority is responsible for the integrity and business conduct of the security sector (Calvo et al., 2018).

The table that follows (Table 1) provides information on banking structure, supervisory institution arrangements, and applicable governance rules and regulations in each of the ASEAN countries. The sectorial model is common to Cambodia, Laos, Myanmar, the Philippines, Thailand, and Vietnam. In addition, Brunei, Indonesia, and Singapore have adopted the integrated model, and Malaysia a partially integrated model.

4

10. Public sector, NGOS and Not-for-Profit
Full publication

Table 1. The ASEAN bank supervision-arrangement and governance frameworks.

	Number of commercial banks	Financial sector supervisory arrangement	Banking supervisor	Bank corporate governance regulation/guideline
Brunei	9	Integrated	Central bank	Guideline number BU/G-1/2017/5 "Guidelines on corporate governance for banks" 2017
Cambodia	43	Sectoral	Central bank	"Prakas[2] on governance in bank and financial institution" 2008
Indonesia	120	Integrated	Independence agency[3]	"Regulation of … implementation of good corporate governance for commercial banks" 2006
Laos	43	Sectoral	Central bank	"Law on Commercial Banks (revised) number 56/NA" 2018
Malaysia	42	Partial-Integrated	Central bank (license grant by MoF[4])	"Corporate Governance" 2019
Myanmar	44	Sectoral	Central bank	"Financial Institution Law" 2016 (Chapter 10)
Philippines	43	Sectoral	Central Bank	"Enhanced Corporate Governance Guidelines for BSP-Supervised Financial" 2017
Singapore	160	Integrated	Central Bank	"Banking Corporate Governance Regulation" 2005
Thailand	30	Sectoral	Central Bank	"Corporate Governance of Financial Institutions" 2017
Vietnam	48 (including 5 state-owned)	Sectoral	Central Bank	"Law on Credit Institutions" 2010 (Chapter 3)

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[2] In Khmer "Prakas" is equivalent to regulation.
[3] The Financial Service Authority - OJK
[4] Ministry of Finance.

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4. METHOD

The study developed bank governance indices based on the BCBS's Corporate Governance Principles for Banks[5] (BCBS, 2015). Fifty-six evaluating criteria were developed from the principles (see appendix A). They were governance attributes of: shareholder's rights and regulatory protections, board of directors including overall responsibilities of the board, qualifications and composition of the board, board structure and practices and compensation practices, and disclosure and transparency. These attributes were derived from the tenet of stakeholder theory that is central to the characteristics of banking institutions.

Each country was rated on each of the criteria and the results converted into indices. The development of corporate governnace indices was guided by an analytical framework for policy research (Ritchie & Spencer, 2002; Srivastava & Thomson, 2009). Their assessment was via scalogram analysis and univariate statistics, which measured dispersion, percentile analysis, scatterplot, and normal distribution. These techniques allowed the description of the data from different perspectives. The indices were applied to assess the   level of compliance of the regulations with the governance principles across each of the ASEAN countries[6].

5. RESULTS OF ANALYSIS OF DESCRIPTIVE STATISTICS

The descriptive statistics on the governance elements (Table 2.) suggested that governance rules are widely different from one country to another. Scores on each governance rule show the disparity of rules across countries. For instance, the scores in the dataset for each individual country has a range between zero to nine with a stretched data distribution. The percentile calculations indicated that a score on any item of 75% and below (of the variables) were scored 77.78% of the maximum score, while 25% and below (of the variables) scored 33.33% of the maximum score. The second quartile indicated that 50%

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[5] BCBS's Corporate Governance Principles for Banks is a universally accepted bank governance guidelines set forth by the Basel Committee on Banking Supervision. The BCBS's principles recognize and derive from OECD's principles, yet provide addition specificities on the risk governance of banks.

[6] The studied countries are Brunei, Cambodia, Indonesia, Malaysia, Myanmar, Philippines, Singapore, Thailand and Vietnam. Laos was excluded due to unavailability of English document.

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and below (of the variables) could score 5. In terms of cross-country scores, the data range is between zero and 56, and the score-range is between 11 and 49. The average mean of the score-range is 29.56 while the standard deviation is 10.95. The first quartile is at 21.5, while the third quartile is at 38.5. The maximum score is 49, while the minimum is only at 11. These indicators suggested that the nine countries have different levels of compliance and the gaps between one country to another is considerably large.

Table 2. Governance indices descriptive statistic.

	Descriptions	Governance elements		Cross-country	
		Value	Percentage	Value	Percentage
Central tendency and dispersion	Mean	4.75	53%	29.56	52.78%
	Median	5.00	56%	28.00	50.00%
	Range	9.00	100%	38.00	68.00%
	Variance	5.33	7%	119.80	3.82%
	Standard deviation	2.31	26%	10.95	19.55%
Percentile analysis	Maximum	9.00	100.00%	49.00	87.50%
	85 percentiles	7.45	82.78%	49.00	87.50%
	3rd Quartile (75)	7.00	77.78%	38.50	68.75%
	Median/2nd Quartile (50)	5.00	55.56%	28.00	50.00%
	1st Quartile (25)	3.00	33.33%	21.50	38.39%
	Minimum	0.00	0.00%	11.00	19.64%

6. DISCUSSION

6.1 Regulatory gaps across countries

The study results suggested that bank governance rules are diverse across all the ASEAN countries. Among the 56 assessed criteria, there were only two common governance rules in all the studied countries. These were that the board should approve the selection of CEO and banks should establish a risk committee. Also, the governance attribute of shareholder's rights and key ownership functions showed that there were similar patterns across countries, but almost all variables indicated a lack of legal requirements for the protection of shareholder's rights in the governance frameworks. Hence, the analysis did not lead to finding of common rules, but rather the lack of regulatory attention to shareholder issues. There were six cases of that only one country varied from the others. These were: the board responsibilities and authorities should be clearly laid out, the number of independent directors should not

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be less than one, banks should establish the audit committee[7], the chair of specialised committees should be an independent director[8], establishment of nomination committee and its rigorous process, and the board candidates should not have any conflict of interests with stakeholders. Other remaining variables disclosed large gaps in the variances between countries. Importantly, on the aspect of the appointment of the chair of the board, the practices were distinctive across countries. Regulations is three countries required that the chair should be an independent director, and five required that the chair should not be the same person as the CEO.

Regarding disclosure and transparency rules, the findings found no single governance variable that had no variance between the countries and that the rules were largely diverse. For example, governance rules in five countries mandated the disclosure of the process of selection of the board and committee, the exhibition of related parties transactions and risk position and strategies, and the inclusion of corporate governance-specific and comprehensive governance reporting in the annual report. In contrast, the other four countries failed to stipulated such rules. Also, Brunei, Indonesia and Singapore utilised internet technology and required banks to update information promptly on their website, while regulation in six other countries failed to realise the importance of digital development.

6.2 Level of compliance to the BCBS's principles

The results showed different degrees of compliance gaps to the BCBS's principles, ranging from the highest of 88% to the lowest 20% compliance rate. The country in which its bank governance framework was most in accordance with the BCBS's standard was Brunei. It achieved a total accumulated score of 49 that translated to 88% compliance rate to the BCBS's standard. One factor contributing to its leading position was its recent update of its bank governance guideline in 2017 (Malaysia 2019, Philippines 2018, the rest updated before 2017). Another factor was due to the absence of a capital market in the country; therefore, Brunei did not have a corporate governance guideline for listed companies like its ASEAN

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[7] Vietnam is the only country that does not required the establishment of audit committee.
[8] Vietnam is the only country that does not required the chair of the board an independent director.

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counterparts. For instance, the rest of ASEAN countries' bank governance framework comprised general guidelines for listed corporations while special guidelines applied to banking institutes. For this reason, the comprehensiveness of Brunei's bank governance guideline was crucial for the country's governance framework. The governance aspects that Brunei fully complied were the overall responsibilities of the board, qualification and composition of the board, and disclosure and transparency.

The second-best performer was Singapore that had an accumulated score of 41, which accounted for a 73% compliance rate. The bank governance guideline of the country was enforced with a "comply or explain" basis as was the case of Brunei (only used by these two countries whereas in others it was did not specified). Singapore was the best performer in respect to the rights of shareholders and the ownership function and fully complied with the compensation practices of the board.

The country that followed was the Philippines that had a compliance rate of 64%, despite the country performing poorly on the aspects of shareholder's rights and ownership functions. Philippines' bank governance guideline included provisions on the practices of the boards, especially on the structure of the board. In terms of disclosure and transparency, the country scored below average, meaning that banks had loose requirements to disclose information to stakeholders and the public.

Malaysia attained the fourth position with the total accumulated score of 34, equalled to a 61% compliance rate. The country's bank governance guideline was completely noncomplying with the BCBS's standard on the aspect of shareholder's rights and ownership functions (as in most countries). The country's rules were most compliant with the provisions of the structure of the board with only one indecisive criterion of 13 criteria. This was the case where it complied with a requirement to have a formal written conflict of interest policy but failed to mandate its procedure (objective compliance process for implementing the policy).

Meanwhile, Indonesia was half compliant and half un-compliant with the BCBS's standard. The country came in the fifth position. Its score of 26 accounted for 50% of the compliance rate. The widest disparity was found on the attribute of shareholder's rights and ownership functions that complied with

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only one out of ten assessing criteria. The country's bank governance regulation was last updated in 2006, which was the oldest policy among the ASEAN counterparts.

Cambodia came sixth on the ranking of BCBS's compliance scoring 24 points, equalled to a 43% compliance rate. It performed poorest on the aspect of shareholder's rights and ownership functions and compensation practices that scored zero and one, respectively. The country's regulation emphasised the qualifications and composition of the board; for instance, it scored on eight out of twelve assessing criteria. Other governance attributes were under-performing and rated below 50% of the compliance rate.

Vietnam scored well below average, at 22 points, accounting for a 39% compliance rate. The country's governance framework was included in the banking law "Decree on the organisation and operation of the commercial banks", while there was no explicit policy or guideline on the arrangement of a governance policy framework. That was one of the factors contributed to its lower position against the ASEAN counterparts. On the regulation of the board, the country scored average across each governance sub-attributes except for board practices on compensations that scored zero. In terms of disclosure and transparency, Vietnam complied with only two out of eight assessing criteria.

The second poorest performer was Thailand, which accounted for 21 points of the possible total of 56, translated to only a 38% compliance rate. One of the reasons was its outdated 2009 legal notice on bank governance. The country's framework was ambiguous in terms of shareholder's rights and ownership function, while all other governance attributes were below average compliance rates, except for the board's compensation practices that were 75% compliant with the index.

The least compliant country was Myanmar. The country's bank governance framework was the same as for Vietnam, which stipulated governance arrangements in its banking law. It complied to only 20% of the BCBS's standard with the poorest performance on disclosure and transparency (zero mark). Although its framework complied with five provisions on the aspect of board structure and practices, it complied with only one and two provisions on other governance attributes. The country's poor governance framework could be explained by its recent economic transformation. Myanmar was in the midst of a political and economic transition toward democratic and market oriented economy (GIZ,

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2018). Before privatisation in 1990, Myanmar was a monopolistic country with a nationalised one tier banking system in which 100 percent of banking assets were completely state-owned. Meaning its banking rules and regulations were the youngest among the ASEAN counterparts.

7. CONCLUSION

The ASEAN nations have set forth solid goals to achieve an integrated banking system within the region. There were numerous benefits of the integrated banking system to the economic developments at both national and regional levels. For instance, in terms of macro-economic value, the integration is seen as the main driver toward more unrestricted capital mobility across regional borders that would lower transactional costs, justify manipulative costs of capital, and spur FDIs and investment projects. At the same time, the progress of the integration would be cautiously factored into consideration of the implicit macro-economic risks such as contagious risks (common lender effect and wake-up call effect), spill-over effect and manipulation on free-flow of capital mobility. In terms of regulatory barriers, several factors were identified to be resistant to the banking system integration, such as country's regulatory framework differences, reluctance toward deeper institutionalization institutionalisation, and lack of a regional financial stability net. Among these three factors, the gaps in regulatory frameworks, specifically bank governance rules and guidelines, were addressed in this study.

The gaps were found to be diverse, and levels of compliance with the international standard were also varied. Contributing factors to these differences were issues such as various stages of country financial sector development, distinctive structures of country financial system, differences of legal systems and political factors. On account of these differences and the goal to achieve an integrated financial system, it left the ASEAN at a cross-roads to decide whether to converge wholly to a single model, to adopt a hybrid model (combing best and second-best) or to develop one's own system. This decision is important to providing a green light to the financial services integration and showing political commitment to regional integration at large.

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Appendix A: Croporate governance assessment criteria.

Bank Governance sub-attributes	Specification	Variables	Description	Sources
Shareholder's rights and key ownership functions				
	Key ownership functions	Secured methods of ownership registration	Equal one if written or implied that shareholder have the right to secured methods of share ownership registration. Nil if otherwise.	OECD/G20 Principles of corporate governance (2015) – Principle 2
		Convey or transfer shares	Equal one if written or implied that shareholder have the right to convey or transfer shares ownership. Nil if otherwise.	
		Obtain corporate information on a timely and regular basis	Equal one if written or implied that shareholder have the right to obtain (basic level) corporate information on a timely and regular basis. Nil if otherwise.	
		Allowed to consult with each other on issues concerning their basic shareholder rights	Equal one if written or implied that shareholder have the right to consult with each other on issues concerning their basic shareholder rights. Nil if otherwise.	
	Voting rights (Noted, shareholder refers to holder of the company's shares regardless of amount and local or foreigner)	Right to vote in general meetings	Equal one if written or implied that shareholders have the right to participate and vote in general shareholder meetings. Nil if otherwise. *(If not, skip next variable. Next variable automatically scores nil)*	
		Right to obtain information	Equal one if written or implied that shareholders have the right to be informed sufficient and timely information (including voting procedures) concerning general shareholder meetings. Nil if otherwise.	
		Right to vote to elect/remove board members	Equal one if written or implied that shareholders have the right to elect and remove members of the board. Nil if otherwise.	
		Right to vote in material changes	Equal one if written or implied that shareholders have the right to vote in material changes such as article of incorporation, authorization of additional shares, and extraordinary transactions. Nil if otherwise.	
		Proxy right	Equal one if written or implied that shareholders have the right to vote in person or in absentia (proxy) and equal effect should be given to votes in either cast. Nil if otherwise.	
		Electronic voting right	Equal one if written or implied that shareholders have the right to cast votes electronically regardless of in-shore or off-shore location. Nil if otherwise.	

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Board of directors				
Overall responsibilities of the board	Responsibilities	Identified own responsibilities	Equal one if written or implied that the board clearly laid out key responsibilities and authorities of the board itself, senior management and control functions. Nil if otherwise.	BCBS Corporate governance principles for banks (2015) – Principle 1
		Approval of business plan	Equal one if written or implied that the board should approve bank's business objectives and strategy and monitor their implementation. Nil if otherwise.	
		Maintain and update organizational changes	Equal one if written or implied that the board should maintain and update organization rules, setting out its organization, rights, responsibilities and key activities. Nil if otherwise.	
	Corporate culture and values	Reinforce tone at the top	Equal one if written or implied that the board should promote a sound corporate culture by reinforcing "tone at the top", including but not limited to setting corporate values, communicate them, and promoting risk awareness. Nil if otherwise.	
		Definitive code of conduct/ethics	Equal one if written or implied that the board should ensure the bank's code of conduct/ethics defines acceptable and unacceptable behaviors. Nil if otherwise.	
		Oversight of whistleblowing policy	Equal one if written or implied that the board should oversight whistleblowing policy mechanism and ensure that legitimate issues are addressed and staff who raise concern is protected. Nil if otherwise.	
	Risk appetite control	Define risk appetite, policy, position	Equal one if written or implied that the board (along with chief risk officer) should establish and oversee risk appetite statement, risk policy, and risk positions. Nil if otherwise.	
		Oversight risk governance framework	Equal one if written or implied that the board should oversight and ensure a proper structure of risk governance framework that consist of three lines of defense (1st business line, 2nd risk management and compliance function, and 3rd internal audit). Nil if otherwise. *(If not, skip next variable. Next variable automatically scores nil)*	
		Oversight effective risk governance framework	Equal one if written or implied that the board should ensure that the second (risk management and compliance) and third (internal audit) lines of defense carry out responsibilities independently from business line, objectively, and effectively. Nil if otherwise.	
		Oversight disciplinary actions of risk governance framework	Equal one if written or implied that the board should ensure that the bank risk governance framework include disciplinary actions for the breach of risk limits. Nil if otherwise.	
	Oversight of management	Approve selection of CEO, executives and heads of control function	Equal one if written or implied that the board should approve the selection of the CEO, senior management and heads of control function. Nil if otherwise.	
		Hold senior management	Equal one if written or implied that the board should oversight senior	

		to accountable practices	management and hold them accountable for their actions and enumerate possible consequences. Nil if otherwise.	
Qualifications and composition of the board	Board composition	Sufficient number of independent directors	Equal one if written or implied that the board comprises sufficient number (not less than 1) of independent directors. Nil if otherwise.	BCBS Corporate governance principles for banks (2015) – Principle 2
		Sufficient bundle knowledge and skills	Equal one if written or implied that collectively board members should have a range of knowledge and experience (but not limited to) in capital market, financial analysis, financial stability issues, financial reporting, information technology, strategic planning, risk management, compensation, regulation, corporate governance and management skills. Nil if otherwise.	
		Effective board member attitude	Equal one if written or implied that the individual board members' attitude should facilitate communication, collaboration and critical debate in decision-making process. Nil if otherwise.	
	Selection and qualifications	Integrity record	Equal one if written or implied that the board candidates should have a record of integrity and repute. Nil if otherwise.	
		Sufficient times dedication	Equal one if written or implied that the board candidate should have sufficient time to fully carry out board responsibilities. Nil if otherwise.	
		Induction program	Equal one if written or implied that the board should ensures that members participate in induction or any sort of training programs related to directorship. Nil if otherwise.	
		Board candidates nomination	Equal one if written or implied that the bank should have nomination committee or equivalent body compose of independent directors to identify and nominates board candidates. Nil if otherwise.	
		Board selection protocol	Equal one if written or implied that the board/nomination committee should have a clear and rigorous process for identifying, assessing, and selecting board candidates. Nil if otherwise.	
		Actions toward director disqualification	Equal one if written or implied that in case a board member ceases to be qualified or is failing to fulfill her responsibilities, the board should take appropriate actions including notify banking supervisor. Nil if otherwise.	
Board structure and practices	The chair of the board	Independent chair of the board	Equal one if written or implied that the chair of the board should be an independent or non-executive board member. Nil if otherwise.	BCBS Corporate governance principles for banks (2015) – Principle 3
		Chairman is not CEO	Equal one if written or implied that the chair of the board should be different person from CEO. Nil if otherwise. *(If affirmative, skip next variable. Next variable automatically scores one)*	
		Designated a lead board member	Equal one if written or implied that in jurisdiction where the chair is permitted to assume executive duties, the bank should designated a lead board member or senior independent board member, and having	

			majority of non-executive directors on the board. Nil if otherwise.	
	Board committees	Specialized independent board committees	Equal one if written or implied that a board may establish certain specialized board committees and the chair of committees at board level should be an independent board member. Nil if otherwise.	
		Charter of the specialized independent board committees	Equal one if written or implied that each committee should have a charter or other instrument mandated by full board that sets out its mandate, scope, working procedures. Nil if otherwise.	
		Compulsory audit committee	Equal one if written or implied that systematically important bank should establish audit committee whereas other banks are recommended. Nil if otherwise.	
		Independence of audit committee	Equal one if written or implied that the audit committee must be entirely made up of independent or non-executive board member. Nil if otherwise.	
		Chair of audit committee	Equal one if written or implied that the chair of audit committee should be independent and different person from the chair of the board and other committees. Nil if otherwise.	
		Compulsory risk committee	Equal one if written or implied that systematically important bank should establish risk committee whereas other banks are recommended. Nil if otherwise.	
		Independence of risk committee	Equal one if written or implied that the risk committee must be made up of a majority of independent board member. Nil if otherwise.	
		Chair of risk committee	Equal one if written or implied that the chair of risk committee should be independent and a different person from the chair of the board and other committees. Nil if otherwise.	
	Conflict of interest	Conflict of interest of the board	Equal one if written or implied that the board members candidates should not have any conflict of interest and undue influence from management, shareholders, or any personal, professional or other economic relationships. Nil if otherwise.	
		Conflict of interest policy	Equal one if written or implied that the board should have a formal written conflict of interest policy and the objective compliance process for implementing the policy. Nil if otherwise.	
Compensation practices	Compensation practices of the board and committee	Establishment of compensation committee	Equal one if written or implied that systematically important bank should establish compensation/remuneration committee. Nil if otherwise.	BCBS Corporate governance principles for banks (2015) – Principle 12
		Review of remuneration practices	Equal one if written or implied that the board or committee should review remuneration plans, processes, and outcomes at least annually. Nil if otherwise.	
		Remuneration approval	Equal one if written or implied that the board together with the committee where one exists, should approve compensations of CEO, CRO, head of compliance, and internal audit. Nil if otherwise.	

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		Prudent remuneration practices	Equal one if written or implied that remuneration structure should not incentivize executives and staffs to take excessive risk. Nil if otherwise.	
Disclosure and Transparency				
	Disclosure on website and annual or periodic reports	Basic organizational information	Equal one if written or implied that the bank should timely and accurately disclose bank's objective and strategy, financial situation and performance, and organizational and governance structure. Nil if otherwise.	BCBS Corporate governance principles for banks (2015) – Principle 13
		Ownership and voting information	Equal one if written or implied that the bank should timely and accurately disclose major share ownership and voting rights. Nil if otherwise.	
		Board and committee information	Equal one if written or implied that the bank should timely and accurately disclose recruitment approach for selection of board members, set up of board committees and number of meetings. Nil if otherwise.	
		Remuneration information	Equal one if written or implied that the bank should timely and accurately disclose remuneration policy and its procedure. Nil if otherwise.	
		Related party transactions and risk exposure information	Equal one if written or implied that the bank should timely and accurately disclose related party transactions, risk exposure and risk management strategies. Nil if otherwise.	
		Website transparency	Equal one if written or implied that information should be updated promptly on the bank's website. Nil if otherwise.	
		Corporate governance disclosure	Equal one if written or implied that the bank should have an annual corporate governance-specific and comprehensive statement in a clearly identifiable section of the annual report. Nil if otherwise.	
		Material issues disclosure	Equal one if written or implied that the bank should disclose all material developments that arise between regular reports to the bank supervisor and relevant stakeholders. Nil if otherwise.	

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Full publication

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8. Business Processes,
Innovation and Supply Chain

**New forms of product design concept selection:
data focus**

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8. Business Processes,
Innovation and Supply Chain

New forms of product design concept selection:
data focus

ABSTRACT: *The research problem is defining the best solution of new product's design concept selection within high competition and resources' limitation by mathematical approaches. The main objective of this study is developing an integrated analytical approach, combining quality function deployment (QFD) and analytic hierarchy process (AHP) approach, and data envelopment analysis (DEA) to enhance the effectiveness of design product decisions. The proposed approach focuses on mathematical methods to comprehensively evaluate and strategically select the best new product concept while considering the features of the B2B product and the available information during concept selection. The best new concept is selected by the combined scores derived from the concept competitiveness (quality function deployment - analytic hierarchy process) and the design development efficiency (data envelopment analysis).*

Keywords: quality function deployment (QFD), analytic hierarchy process (AHP), data envelopment analysis (DEA), product design concept selection, integrated analytical approach

INTRODUCTION

Firms develop new products in order to remain competitive and expand their market share. Thus, new product development (NPD) is a vital function and critical process to remain competitive in the highly competitive environment (Kahraman et al., 2017). Additionally, the selected design concept highly contributes the success of the final product and directly affects the following development stages, new concept selection is one of the most important decision-making activities during NPD (Akao, Y., 2018). Geng C. et al. (2014) confirms that despite of its importance, concept selection is difficult because it requires complex multi criteria decision making (MCDM) with many factors, ranging from customer needs to constraints of the enterprise.

Bhutta (2013) selected and reviewed 154 journal articles on product design concept selection and evaluation for the period 1986 – 2012. The methods used were individual, including total cost approach, multiple attribute utility theory, total cost of ownership (TCO), AHP, data envelopment analysis, and mathematical programming techniques. Among them, TCO was the most prevalent approach, followed by AHP. Because of this finding, Bhutta and Huq (2012) compared TCO and AHP comprehensively. They revealed that AHP can provide a more robust tool for decision makers to select and evaluate customer's requirements for product design with respect to qualitative and quantitative criteria, instead of cost data only considered in TCO.

Ho et al. (2019) selected and reviewed 70 journal articles on product design concept selection and evaluation

for the period 2000 – 2018. Several approaches have been proposed for product design concept selection, such as using AHP, analytic network process (ANP), case-based reasoning (CBR), data envelopment analysis (DEA), fuzzy set theory, genetic algorithm (GA), mathematical programming, simple multi-attribute rating technique (SMART), and their integrations.

LITERATURE REVIEW

DEA is a methodology to measure efficiency with multiple inputs and outputs. Some authors state it is a non-parametric approach that does not require assumptions about the functional form of a production function and a priori information on the importance of inputs and outputs (Jeon, Kim, and Lee, 2010). Andersen and Petersen (2013) developed the super efficiency model to improve upon the two limitations of the DEA-CCR (by Charnes, Cooper, and Rhodes, 2014) and the DEA-BCC (by Banker, Charnes, and Cooper, 2015) models. The first limitation is that these models cannot rank all of the decision-making units (DMUs). Since these models do not calculate an efficiency score greater than one, they score all efficient DMUs equal to one (discussed by Kwong, C.K., 2019 and Chuang, P.T., 2020). The second limitation is that these models do not indicate the DMUs that require improvement. The basic concept of the super efficiency model is to calculate the relative difference among the efficiency frontiers depending on the existence of DMUs. (Chakraborty T. et al., 2020 and Hanumaiah N. et al., 2021) suggested there are two types of super-DEA models, a radial model and a non-radial model. For the radial model, infeasibility can occur depending on the data structure without considering slacks. Infeasibility issues are critical in calculating efficiency. To solve this infeasibility, Li, Y. et al. (2019) suggested using a non-radial model, i.e. slacks based measure of efficiency model (super-SBM). In this study, we apply a super-SBM to evaluate the design development efficiency and rank all design alternatives without infeasibility.

Here is the summary of all these approaches and definition of their advantages and limitations in use (table 1).

Table 1. Definition and application of product concept's development process

	Field of application	Advantages and disadvantages (limitations)
QFD	Product design	+A systematic way of obtaining information and presenting it,
	Manufacturing	+ Good strategic driver for the design process and production process,
	Short-term/Long-term decisions	- Requires the Right Organizational Environment, - Less Adaptable to Changing Demand
AHP	Any area of decisions	+ Wide application area,
	Some former and successive studies	+ Uses both the linguistic assessments and numerical values for the alternative selection problem,

DEA	Long-term decisions	- The computational requirement is tremendous even for a small problem,
	Calculation the relative efficiencies of a group of decision-making units	+ Not assuming a particular functional form/shape for the frontier,
	Benchmarking in operations management	+ Can be used as hybrid method, this allows a best-practice relationship between multiple outputs and multiple inputs to be estimated,
	Short-term decisions (problem-oriented)	-Difficult for use, - Requires secondary data

Source: author's survey

It is noticed from table above that each separate method has advantages and disadvantages in practical case; so, it is necessary to develop new method, which may combine all these approaches and reduce limitations.

MATERIALS AND METHODS

In this study, author proposes a new method to help B2B product enterprises evaluate and select new product concepts based on CR (continuous response).

Application introduction

For illustration of the proposed method, we apply it to a case study of an automotive air conditioning system (A/C system), as depicted in Figure 1. The aim of an A/C system is to generate cool air for the driver's convenience and comfort.

Figure 1. Circulation of refrigerant in the automotive A/C system.
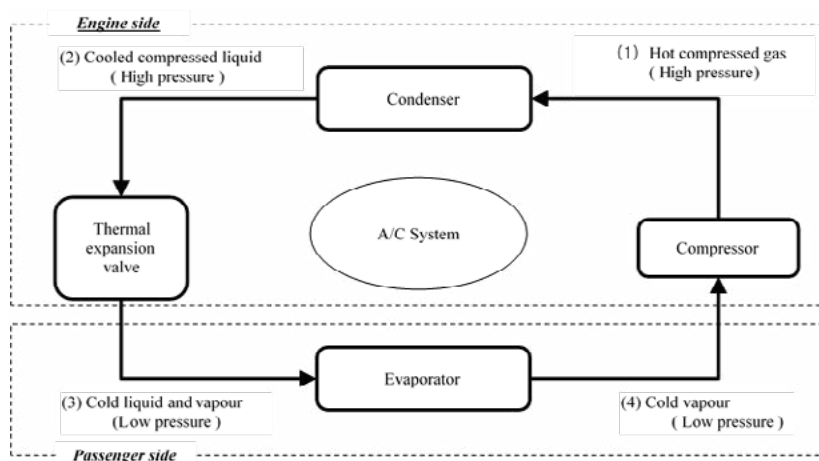
Source: made by author

The A/C system consists of four major components, compressor, condenser, and thermal expansion valve (TXV) and evaporator. The A/C system uses refrigerant, such as R134a, in the circulation system. The refrigerant can absorb and release energy when it changes phases between liquid and gas. The

compressor makes the refrigerant a pressurized gas under high pressure. Through the heat-exchange in the condenser, the refrigerant changes to a cooled compressed liquid under high pressure. A thermal expansion valve (TXV) makes the refrigerant become a cold mixture of liquid and vapor under low pressure. The evaporator is located on the passenger side and is a heat-exchanging component which absorbs surrounding heat to cool the atmosphere. The cooled air is forced into the passenger side by an electric motor. An automotive A/C system is typically B2B product of which buyers request perfect quality, good function and competitive price for a large purchasing volume.

During the first step author should prepare research model and choose appropriate criteria and evaluation indicators for our survey. The proposed product concept selection approach using combined AHP and QFD can be described in the following steps:

AHP pairwise comparison.
Construct a pairwise comparison matrix A (Eq.1),

$$A = \begin{bmatrix} a_{11} & a_{12} & \cdots & a_{1n} \\ a_{21} & a_{22} & \cdots & a_{2n} \\ \vdots & \vdots & \ddots & \vdots \\ a_{n1} & a_{n2} & \cdots & a_{nn} \end{bmatrix}$$

(1)

where n denotes the number of elements (customer requirements in product 1), and a_{ij} refers to the comparison of element i to element j with respect to each criterion (product design). The 9-point scale can be used to decide on which element is more important and by how much.

AHP synthetisation.
Divide each entry (a_{ij}) in each column of matrix A by its column total. The matrix now becomes a normalized pairwise comparison matrix (Eq. 2),

$$A' = \begin{bmatrix} \dfrac{a_{11}}{\sum_{i \in R} a_{i1}} & \dfrac{a_{12}}{\sum_{i \in R} a_{i2}} & \cdots & \dfrac{a_{1n}}{\sum_{i \in R} a_{in}} \\ \dfrac{a_{21}}{\sum_{i \in R} a_{i1}} & \dfrac{a_{22}}{\sum_{i \in R} a_{i2}} & \cdots & \dfrac{a_{2n}}{\sum_{i \in R} a_{in}} \\ \vdots & \vdots & \ddots & \vdots \\ \dfrac{a_{n1}}{\sum_{i \in R} a_{i1}} & \dfrac{a_{n2}}{\sum_{i \in R} a_{i2}} & \cdots & \dfrac{a_{nn}}{\sum_{i \in R} a_{in}} \end{bmatrix}$$

(2)

where R denotes the set of customer requirements, that is, R = {1, 2, …, n}.

Compute the average of the entries in each row of matrix A' to yield column vector (Eq. 3),

$$C = \begin{bmatrix} c_{1k}^1 \\ \vdots \\ c_{nk}^1 \end{bmatrix} = \begin{bmatrix} \dfrac{\left(\dfrac{a_{11}}{\sum_{i \in R} a_{i1}} + \dfrac{a_{12}}{\sum_{i \in R} a_{i2}} + \cdots + \dfrac{a_{1n}}{\sum_{i \in R} a_{in}} \right)}{n} \\ \vdots \\ \dfrac{\left(\dfrac{a_{n1}}{\sum_{i \in R} a_{i1}} + \dfrac{a_{n2}}{\sum_{i \in R} a_{i2}} + \cdots + \dfrac{a_{nn}}{\sum_{i \in R} a_{in}} \right)}{n} \end{bmatrix}$$

(3)

where c_{ik}^1 denotes the relationship weightings between customer requirement i and its

corresponding design k.

AHP consistency verification

Multiply each entry in column i of matrix A by c_{ik}^1. Then, divide the summation of values in row i by c_{ik}^1

to yield another column vector (Eq. 4),

$$\overline{C} = \begin{bmatrix} \overline{c}_{1k}^1 \\ \vdots \\ \overline{c}_{nk}^1 \end{bmatrix} = \begin{bmatrix} \dfrac{c_{1k}^1 a_{11} + c_{2k}^1 a_{12} + \cdots c_{nk}^1 a_{1n}}{c_{1k}^1} \\ \vdots \\ \dfrac{c_{1k}^1 a_{n1} + c_{2k}^1 a_{n2} + \cdots c_{nk}^1 a_{nn}}{c_{nk}^1} \end{bmatrix}$$

(4)

where $\overline{C}$ refers to a weighted sum vector.

Compute the averages of values in vector $\overline{C}$ to yield the maximum eigenvalue of matrix A (Eq. 5),

$$\lambda_{max} = \frac{\sum_{i \in R} \overline{c}_{ik}^1}{n}$$

(5)

Compute the consistency ratio (Eq. 6),

$$CI = \frac{\lambda_{max} - n}{n - 1}$$

(6)

where RI(n) is a random index of which the value is dependent on the value of n. If CR is greater than 0.10,

then go to step a). Otherwise, go to step g).

Compute the importance rating of each stakeholder requirement,

where S denotes the set of company stakeholders, that is, S = {1, 2, …, m}, and pk denotes the proportion

of customers k.

After calculating the final assessment scores, author conducts a quadrant analysis to categorize the new

design concepts into four groups. Author analyzes the relative position of each design concept versus the

current design through quadrant analysis. Figure 1 depicts the detailed procedures of the proposed

framework.

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RESULTS

Results of new design concept generation (QFD)

For this case study, the B2B product supplier has maintained a long-term relationship with customers. The developers have attended a regular meeting with customers to exchange opinions and create a new design concept for new vehicles. These B2B product developers clearly recognize the CR. Table 2 shows the result of the QFD analysis about the evaporator in the A/C system. The customer requests a smaller size, silent operation, and good operational efficiency with low weight and low price. The customer considers the low price (customer weight = 5) to be the most important CR. Further, we selected nine ES following interviews with the product designers. We calculated the relative importance by considering the correlation between the CR and the ES. The number of tubes is the most important ES.

Table 2. Quality Function Deployment (QFD) for the A/C system evaporator.

| | | Customer weights (1,3,5) | Engineering specifications (1,3,5) | | | | | | | | |
			Number of components	Product width	Product height	Product thickness	Number of tubes	Unit tube volume	NRPH[a]	Unit fin volume	FPDM[b]
Customer requirements	Smaller size maintaining the same heat-exchange.	3	1	5	5	5	3	1	3	3	3
	Silent operation and no noise.	1				1					5
	Good operational efficiency.	1		1				3	5		
	Low weight for fuel efficiency.	3	3				3	3		3	
	Low price	5	3	1	1	1	3				3
Raw score			27	21	20	21	33	15	14	18	29
Relative weights			14%	11%	10%	11%	17%	8%	7%	9%	15%

Unit	pcs	mm	mm	mm	pcs	cm^3	holes	cm^3	pcs
Current design	110	282	295	35	60	13.3	7	50.2	67
Competitor X	148	308	234	44	86	9.4	5	34.9	75
Competitor Y	149	276	295	41	78	5.2	19	47.5	76

Note: a) NRPH denotes the number of refrigerant path holes in a tube
b) FPDM denotes the number of $_{fin}$ per $_{dm}$

**Results of determining the candidates for new design concept**

Author conducted interviews with designers and marketers to determine the candidates for the new design concept. As shown in Table 2, author selected five new product concepts with two competitor's designs and the current design as a reference.

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Results of evaluating concept competitiveness by the QFD- AHP

To evaluate the concept competitiveness, we considered multiple criteria in advance. Specifically, author selected five key criteria which represent the CR in the QFD: heat-exchange performance (kcal/hr), air pressure drops (mmAg), refrigerant pressure drops (kgf/cm2), weight, and cost. As depicted in Figure 2 (Limperich, Braun, Schmitz, and Prölß, 2015]), air travels through the core and refrigerant passes through several holes in the tubes to exchange the heat between the hot air and the cold refrigerant.

Figure 2. Evaporator picture (left) and schematic of fluid flow (middle, right).
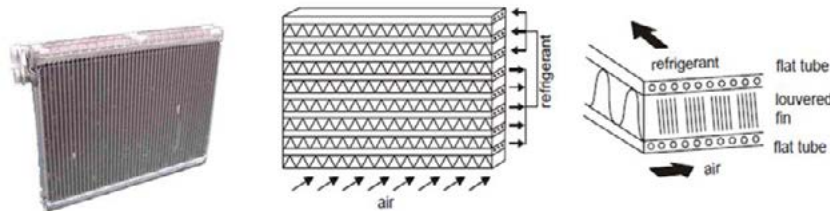
Source: Limperich, D., Braun, M., Schmitz, G. and Prölß, K., 2015

The heat-exchange performance (HEX) measures how much energy (kcal) has been exchanged during one hour. If I increase the HEX using the same size, we can reduce the size of the product. The air pressure drops (dP air) means the pressure difference between the inlet and outlet of the evaporator. If the dP air increases, air flow decreases which makes noise. The refrigerant pressure drops (dP ref) represents the pressure difference between the inlet and outlet of the tubes. As dP ref increases, the efficiency of the A/C system decreases. The weight of the component is a critical factor and is highly related to the fuel efficiency of the vehicle. The cost, which refers to the numerous expenses required to produce the product, is also crucial for buyers and directly affects market price. After selecting five criteria, author conducted a pair-wise comparison to determine the weighted value of each criterion (table 3).

Table 3. Rating levels to evaluate concept competitiveness.

Levels	HEX	d_P air	d_P ref	Weight	Cost
9	$6 < t \leq 8$	$-24 \leq t < -18$	$-32 \leq t < -24$	$-12 \leq t < -9$	$-16 \leq t < -12$
8	$4 < t \leq 6$	$-18 \leq t < -12$	$-24 \leq t < -16$	$-9 \leq t < -6$	$-12 \leq t < -8$
7	$2 < t \leq 4$	$-12 \leq t < -6$	$-16 \leq t < -8$	$-6 \leq t < -3$	$-8 \leq t < -4$
6	$0 < t \leq 2$	$-6 \leq t < 0$	$-8 \leq t < 0$	$-3 \leq t < 0$	$-4 \leq t < 0$
5	Current design	Current design	Current design	Current design	Current design
4	$-2 \leq t < 0$	$0 < t \leq 6$	$0 < t \leq 8$	$0 < t \leq 3$	$0 < t \leq 4$

3	$-4 \leq t < -2$	$6 < t \leq 12$	$8 < t \leq 16$	$3 < t \leq 6$	$4 < t \leq 8$
2	$-6 \leq t < -4$	$12 < t \leq 18$	$16 < t \leq 24$	$6 < t \leq 9$	$8 < t \leq 12$
1	$-8 \leq t < -6$	$18 < t \leq 24$	$24 < t \leq 32$	$9 < t \leq 12$	$12 < t \leq 16$

Author used a nine-point Likert scale to evaluate concept competitiveness as shown in Table 3. Author developed the rating levels through interviewing the firm's internal experts. Value t in Equation (7) represents the relative result compared to the current product design. The Vcurrent denotes the current product design's value and Vnew denotes the new design concept's value. For example, cost decreases, the cost competitiveness increases. If the new concept's cost is five percent (t= -5) less than the current design, I rate the new concept equal to 7. To calculate the value t, we used the bench test results of the current design and competitors. As author did not have actual components of the new concepts, author adopted the estimated results from product designers. The costs were estimated by cost estimators under the same calculation toolkit.

$$t = 100 * (V_{new} - V_{current}) / V_{current} \tag{7}$$

Author calculated the concept competitiveness scores by multiplying the rating scores by the weighted values. Then, author normalized the scores by dividing each original score by the current product's score. Table 4 details the results and rankings of the design concept competitiveness scores (Vcomp) as well as results from QFD analysis. The cost (0.419) is the most important criterion among the five criteria, concept A is the most competitive design, competitor X is ranked last, and the current design concept is ranked sixth among the eight concepts

CONCLUSION

The requirements of market are essential information for suppliers to determine new product concept. Additionally, as B2B product is highly linked with ultimate products in terms of quality, performance and price, it is crucial for B2B supplier to clearly understand customer requirement and to develop competitive product in price and quality. In this study, author suggests a novel hybrid method by combining concept competitiveness and design development efficiency to assist B2B product suppliers in selecting the best new design concept. Author applied a QFD approach to generate new design alternatives, and used this analysis to evaluate concept competitiveness. Author adopted an AHP rating method to assess concept competitiveness and a super-SBM to calculate the design development efficiency. Author selected the best new design concept through the combined score of WtComp and WtEff. Finally, author classified these

concepts into four categories for design concept management.

Author applied this proposed method to a case study of evaporators in an automotive A/C system. From the illustrated results, concept A ranked first in concept competitiveness and concept B ranked first in design development efficiency. On the other hand, competitor X and concept E ranked last in competitiveness and efficiency, respectively. Thus, concept B was selected as the best design concept with the highest combined score. From the quadrant analysis, concept A, B, and C belonged in quadrant I, which is the potential selection group with relative higher concept competitiveness and design development efficiency than the current design.

This study has numerous implications. First, this study proposes the linked approach between divergent step and convergent step by applying integrated QFD-AHP. It helps decision-maker to make sense from customer requirement to design priority at the same time. Second, this proposed method is a hybrid approach with both QFD-AHP and DEA, considering concept competitiveness and design development efficiency. Third, this study evaluates each concept versus a current design. This approach helps decision-maker to clearly understand its relative level. Fourth, this study shows how to practically classify new concepts for concept management after selection. With this proposed method, B2B product suppliers can practically and quickly obtain reliable results for concept selection during NPD.

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5. Entrepreneurship and SME's

Individual Entrepreneurial Orientation: Towards a Psychological Model

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ABSTRACT

In this paper we consider how the dimensions of Entrepreneurial Orientation (EO) manifest and configure at the individual level of analysis. Using Lumpkin and Pidduck (2021) global beliefs-based EO approach we share how a research program that pursues a beliefs-based individual-level EO typology and taxonomy will benefit our understanding of what it means to 'be entrepreneurial.'

Keywords: Individual entrepreneurial orientation; configuration; psychology; social identity; value creation outcomes

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Entrepreneurship has many guises. One way to explain these guises is the entrepreneurial orientation (EO) construct. EO is the widely accepted primary corporate level entrepreneurship paradigm that helps to interpret and understand different organisational forms (Covin & Wales, 2019). The extant EO measurement instruments address the firm-level assessing managers' observations on corporate *behaviours* (Covin & Slevin, 1986, 1989, 1991; Miller, 1983). Specifically, these authors developed a unidimensional EO measurement instrument (i.e., a single EO score derived from the sum of the components) comprising the three elements of innovation, proactiveness, and risk-taking, which became widely adopted (Rauch, Wiklund, Lumpkin, & Frese, 2009; Titus, Parker, & Covin, 2020).

While EO has gained significant recognition as a unidimensional firm-level construct (i.e., M/C&S, the Miller/Covin and Slevin approach), the multidimensional approach by Lumpkin and Dess (1996) has received less traction. Identifying this anomaly and responding to an increasingly diverse entrepreneurship community of scholars and practitioners, Lumpkin and Pidduck (2021) have recently presented a conceptual reset of EO and introduced a global perspective of EO. Among this revised approach's distinctions is that the global perspective considers more universally what it means to 'be entrepreneurial'. The authors propose that the global EO is more than a corporate strategic orientation and has the capacity to explain broader outcomes such as *new value creation* compared to performance or new market entries. Significantly, the global concept focuses on individual belief statements and is not limited to the firm-level perspective but embraces various analysis levels (i.e., individual, team, group, organisational, and society). As such, we suggest that Lumpkin and Pidduck's (2021) conceptual reset of EO offers a robust platform to build a conceptual model that provides a more nuanced understanding of what it means for individuals to 'be entrepreneurial'. This paper demonstrates how the updated global EO concept can serve as a robust departure to conceptualise a psychological model of EO, specifically conceptualising a beliefs-based typology of individual EO types grounded in psychology.

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While research has proven that organisational EO behaviours positively influence firm performance, no research exists exploring the psychological perspective of individuals' underlying beliefs related to EO. This paper hence aims to focus on the individual's *'orientation'* (i.e., an individual's general approach, ideology, or viewpoint) that informs the 'being entrepreneurial' element within the EO construct (Covin & Lumpkin, 2011; Lumpkin & Pidduck, 2021; Wales, Covin, & Monsen, 2020). Since the individual sits at the root of entrepreneurship, it is imperative to extend our understanding of the underlying beliefs that inform entrepreneurial action and value creation decisions (Shepherd & Patzelt, 2018). To build the foundation for our conceptual model, we briefly table EO's trajectory and overview the updated global EO construct before introducing our approach to developing a psychological EO model.

DOMINANT EO PERSPECTIVE: THE FIRM-LEVEL

EO has evolved along multiple pathways. With origins in the strategy (Hart, 1992; e.g., Mintzberg, 1973), EO is a broad construct involving all aspects of an organisation, incorporating a firm's mission, vision, goals, structure, systems, processes, and people (Hart, 1992). Therefore, EO saw itself established as a firm-level instrument designed to measure a firm's strategic posture (Covin & Wales, 2012, 2019; Rauch et al., 2009). With contributions by Miller and Friesen (Miller & Friesen, 1978, 1982), Miller (1983) and Covin and Slevin (1986, 1989, 1991), the three components (i.e., innovation, proactiveness, and risk-taking) became known as determinants of entrepreneurship and, more specifically, manifested firmly as the factors explaining the strategic posture of a firm's entrepreneurial orientation (Covin & Wales, 2012, 2019; 2019; Rauch et al., 2009; Wales, Kraus, Filser, Stöckmann, & Covin, 2020). As such, EO became the leading unidimensional (i.e., an aggregated score of the underlying components) organisational-level measurement instrument, distinguishing entrepreneurially behaving

firms from rather conservative firms predicting performance (Rauch et al., 2009; Wales, Covin, & Monsen, 2020; Wiklund & Shepherd, 2005; Zahra, Jennings, & Kuratko, 1999).

Identifying that the three EO components are necessary but not sufficient, Lumpkin and Dess (1996) advocated to include the two further dimensions of competitive aggressiveness and autonomy. In contrast to the Miller/Covin and Slevin approach, these authors considered the five dimensions of innovativeness, proactiveness, risk-taking, competitive aggressiveness, and autonomy to be utilised as a multidimensional measurement instrument in different corporate and external contexts (Lumpkin & Dess, 1996).

Numerous empirical studies have examined and, in the main, established the positive influence of EO on firm performance (Rauch et al., 2009). Lumpkin and Dess (1996) five-component version maintained performance as the dependent variable (DV) but also referred to new entry outcomes (Covin & Lumpkin, 2011; Covin & Wales, 2012; Wales, Wiklund, & McKelvie, 2015). Others consider that EO should not be limited to explaining performance or new entry, instead suggesting that EO should characterise "an overall gestalt within the firm" (George & Marino, 2011, p. 993). As various ways to interpret the meaning of new entry exist (Lumpkin & Dess, 1996), scholars claimed that numerous entrepreneurial oriented processes, which lead to new entry, could not be classified as EO (George & Marino, 2011). Lumpkin and Pidduck (2021) concur that, for example, the entire start-up activity that is needed before realising a new entry should be coined as an EO process.

Debates on EO continue along two veins. Specifically, whether EO should be measured as a *reflective* unidimensional or a *formative* multidimensional construct and whether it is appropriate to consider the original three components, the advanced five, add others, or exchange components (Lumpkin & Pidduck, 2021). Concerning the first conundrum, the differences of these two methods relate to the reflective unidimensional EO measurement being an aggregated score of the construct's components representing a *reflective* second-order construct (George & Marino, 2011). In this measurement type,

variances in the first order (i.e., EO) influence variances in the second-order (i.e., underlying components) (George & Marino, 2011). In contrast, the multidimensional measurement is a *formative* second-order concept (Anderson, Kreiser, Kuratko, Hornsby, & Eshima, 2015). Here, causality flows in the opposite direction. The underlying second-order components form EO, which is the first-order construct. All components are evaluated separately in this measurement type and can thus vary independently (George, 2011).

A meta-analysis by Rauch et al. (2009) revealed that studies primarily employed the initial three dimensions (i.e., M/C&S scale): innovativeness, proactiveness, and risk-taking, and measured a firm's EO as a reflective unidimensional construct. Only 14 studies looked at EO as a formative multidimensional composition. Each of the three dimensions showed how they contributed differently to performance (Rauch et al., 2009). For example, eight studies added the dimension of competitive aggressiveness, while one study included autonomy, and two further studies involved both dimensions in their measurement (Rauch et al., 2009). Other studies have proposed to extend EO by additional components. Examples include but are not limited to resilience (Korber & McNaughton, 2018) and persistence (Syrjä, Puumalainen, Sjögrén, Soininen, & Durst, 2019).

To summarise, the EO debate has been ongoing due to (a) an unclear number of components (i.e., three, five, other, or more), (b) two differently applied DV's (i.e., performance and new entry), and (c) two different measurement approaches (reflective unidimensional vs formative multidimensional). However, different perspectives aside, there is a consensus that EO improves our overall understanding of what it means to 'be entrepreneurial' (Wales, Covin, & Monsen, 2020; Wales, Kraus, et al., 2020).

UNDEREXPLORED EO PERSPECTIVE: THE INDIVIDUAL-LEVEL

Research considering EO on an individual level is limited. Kollmann, Christofor, and Kuckertz (2007) transferred the five-component multidimensional EO construct to a personal level. They

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conceptualised how several environmental factors influence the relationship between individual entrepreneurial orientation (EO-IND) and nascent entrepreneurial activity. Empirically, the three-component multidimensional configuration approach has been utilised to aggregate EO-IND results to a team level perspective to explain team performance (Covin et al., 2020).

However, most EO-IND studies have applied EO's unidimensional measurement approach. Notably, Krauss, Frese, Friedrich, and Unger (2005) undertook a psychological approach to EO-IND, which explored the relationship between EO-IND behaviours and performance in a sample of southern African small business owners. Their study confirmed EO-IND as a unitary construct entailing the components of learning achievement, autonomy, competitive aggressiveness, innovativeness, risk-taking, and personal initiative (Krauss et al., 2005). Research also looked at the relationship between students' EO-IND and their intention to launch a business (Bolton & Lane, 2012; Koe, 2016). In a similar vein, EO-IND was employed as a mediator to assess the relationship between environmental factors and the intention to launch a business (Martins & Perez, 2020).

Further, it was found that the personality measure HEXACO-100 showed strong correlations with the three EO components of innovativeness, proactiveness, and risk-taking, equally explaining the intent to start a company (Howard, 2020). Kraus, Furtner, Berchtold, and Schleich (2020) found a positive relationship between EO-IND and individual employee performance. They highlighted that the two personality factors of conscientiousness and agreeableness negatively impacted this relationship, while openness to experience had a positive moderation effect.

Fellnhofer, Puumalainen, and Sjögrén (2017) observed a positive impact of team leaders' EO-IND level on their subordinates' EO-IND level and subsequent performance. On the other hand, a study on executives' proclivity to narcissism, Machiavellianism, and psychopathy could not identify significant effects on the relationship between EO-IND and performance (Kraus, Berchtold, Palmer, & Filser, 2018). Additionally, high amounts of EO-IND were associated with employees' engagement in explorative

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activities as opposed to employees' exploitative actions within the public sector (Kraus, Breier, Jones, & Hughes, 2019).

In a related stream of research, EO-IND was utilised as a DV, and it was found that the male gender is associated with higher levels of EO-IND compared to females and that an androgynous identity had a more substantial impact on EO-IND in contrast to masculine or feminine identities (Goktan & Gupta, 2015). Similar to EO research conducted on a firm level, EO-IND studies have also suggested adding further dimensions to the initial construct, such as individuals' passion or perseverance (Santos, Marques, & Ferreira, 2020).

To conclude, despite agreement on what EO can explain, diverse viewpoints about the 'how-to' have led to various EO research applications. As a result, the EO concept has undergone some sedimentation. Therefore, Lumpkin and Pidduck's (2021) attempt to clarify what it means to 'be entrepreneurial' by introducing the global perspective of EO is timely.

GLOBAL EO PERSPECTIVE: A CONCEPTUAL RESET

The global EO perspective presents a conceptual reset. As attempts to reconcile the various versions of EO were deemed unfruitful (Wales et al., 2020), Lumpkin and Pidduck (2021) suggested making a clear distinction between the current organisational view of EO. Accordingly, they introduced a renewed global version of EO, devised as a global entrepreneurial orientation (EO-GLO). To accomplish this, Lumpkin and Pidduck (2021) first aimed to clarify what it means to 'be entrepreneurial': "Being entrepreneurial means being an autonomous, proactive, innovative, and competitive risk-taker" (Lumpkin & Pidduck, 2021, p. 41).

As entrepreneurship is a global phenomenon that manifests in various forms, and these forms vary significantly between unlegislated administrations to industrialised economies, a formative five-component multidimensional configuration approach appears most appropriate to reflect the diversity of

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these diverse global contexts (Lumpkin & Pidduck, 2021; McKenny, Short, Ketchen, Payne, & Moss, 2018). Lumpkin and Pidduck (2021) highlighted that the five dimensions are obligatory to tolerate the omnipresent uncertainty conundrum. However, they have also viewed these five dimensions as satisfactory, as they serve the rudimentary predicament on entrepreneurial decision-making under uncertainty. Simultaneously, Lumpkin and Pidduck (2021) reasoned that not all five EO-GLO components needed to be highly prominent in every context for being described as 'entrepreneurial'.

Since EO can occur "across many levels of analysis" (Lumpkin & Pidduck, 2021, p. 46), EO's universal conceptualisation also embraces the full spectrum of analysis levels (Lumpkin & Pidduck, 2021, p. 47). Whereas the current M/C&S scale exclusively focuses on the firm-level, addressing manager's views on corporate behaviours and some managerial beliefs primarily, the global EO version concentrates on individual belief statements (Lumpkin & Pidduck, 2021). The authors evaluated that beliefs are more fundamental than behaviours as they disclose "insights into more deeply held underlying assumptions" (Lumpkin & Pidduck, 2021, p. 47). Furthermore, beliefs "can be expressed in terms that are relatively context-free" and "regardless of the level of analysis – individual, team, firm, etc. – the belief statements would remain the same" (Lumpkin & Pidduck, 2021, p. 48).

Lumpkin and Pidduck (2021) further associated the updated global EO concept with much broader outcome variables than 'performance' or 'new entry' and proposed *new value creation* as a universally applicable DV (Lumpkin & Pidduck, 2021). The authors recommend that the established corporate EO construct ought to move forward by utilising 'new entry' as the primary DV, while *new value creation* reflects best the intended global perspective. Given its modified universal perspective, the global EO concept is defined as *"the autonomous, proactive, innovative, and competitive risk-taking beliefs and behaviors needed to create new value under conditions of uncertainty"* (Lumpkin & Pidduck, 2021, p. 55). As "fundamentally, 'being entrepreneurial' is manifested in several widely-acknowledged ways by organisations" (Wales, Covin, & Monsen, 2020, p. 2), the updated global perspective on EO

(Lumpkin & Pidduck, 2021) aims at broadening all original viewpoints. Therefore, the conceptual reset of EO presents clarity and offers us the possibility to explore EO's bedrock: a psychological model of EO that establishes a beliefs-based EO typology of individual entrepreneurs. In doing so, the next section will introduce our conceptual model that builds on the foundations of this updated global EO construct.

CONCEPTUAL MODEL DEVELOPMENT

Entrepreneurs are the driving principals in entrepreneurship (Kirzner, 1973; Schumpeter, 1911). Gartner (1985) described entrepreneurship as a process that is "a multidimensional phenomenon (...) and cannot be taken alone" (p. 697). While entrepreneurship has many forms, there is consensus that the "heart" of entrepreneurship (Stevenson & Gumpert, 1985) is "the intentional pursuit of opportunity" (Krueger, 2005, p. 106) performed by "the set of individuals who discover, evaluate, and exploit them" (Shane & Venkataraman, 2000, p. 218). Lumpkin and Dess (1996) put forth a more specific differentiation to separate the 'what' from the 'how' (Miller, 2011, p. 875). They defined entrepreneurship as the content (i.e., 'what') which is accomplished through the 'how' described as "the processes, practices, and decision-making activities" (Lumpkin & Dess, 1996, p. 136), denoted as the concept of entrepreneurial orientation. Since the individual sits at the root of these processes, practices, and decision-making activities, it appears rational to associate the concept of entrepreneurial orientation with the individual-level perspective.

Given the essential role the individual plays in entrepreneurship, we argue that the current corporate EO perspective reflects a top-down approach. Drawing on the upper Echelons theory (Hambrick, 2007; Hambrick & Mason, 1984), we propose that the current corporate EO measurement is heavily influenced by the firm's top team beliefs and behaviors as they set the firm's strategy. However, these beliefs and behaviours are also influenced by the organisational context and must not necessarily

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reflect the entrepreneurs' or managers' general individual beliefs as they must adapt their behaviours to the given organisational context.

Therefore, our EO typology intends to take a bottom-up approach by exploring EO's bedrock. More specifically, our psychological EO explores individual configurations of distinct EO belief orientations. The research questions that drive this conceptualisation are as follows: (1a) "How do the five EO dimensions (i.e., autonomy, proactiveness, innovativeness, competitiveness, and risk-taking) configure as distinctive EO types in individuals? (1b) "How do the distinct EO types differ in creating and capturing (a) economic value and (b) social value?

Individual EO Type Configurations

As the revised global EO concept is concentrated around a person's belief system, it provides the foundation for a robust individual level platform. This platform allows us the opportunity to use the formative five-component (i.e., autonomy, proactiveness, innovativeness, competitiveness, and risk-taking) configuration approach to conceptualising a typology of beliefs-based individual-level EO types. Using a formative multidimensional approach, we can explore the nuances each component plays, informing individual differences rather than looking at a unidimensional general propensity. The rationale behind utilising the beliefs-based statements is linked to a person's belief system, described as a "configuration of ideas and attitudes in which the elements are bound together by some form of constraint or functional interdependence" (Converse, 2006, p. 3). While observable behaviour is usually dependent on the presented context, behaviour does not necessarily reflect the individual's underlying beliefs (Hogarth & Makridakis, 1981). Although individual beliefs and behaviours tend to reinforce each other, behaviours are usually driven by the individual belief system (Converse, 2006; Hogarth & Makridakis, 1981).

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Our working hypothesis is that all five dimensions will be evident in entrepreneurs but to a different extent and configure differently. For example, while one individual EO type might indicate a high orientation towards autonomy and innovativeness, another type might be orientated towards high risk-taking and proactiveness while the other three dimensions are less evident. Further, individual EO types are likely to focus on different value creation outcomes. We further intend to explore individual EO type differences by drawing on the established founder identity types of Darwinians, communitarians, and missionaries (Fauchart & Gruber, 2011; Sieger, Gruber, Fauchart, & Zellweger, 2016). Consequently, our beliefs-based individual-level EO type configuration will be theoretically grounded in psychology and not in the organisational literature.

Insert Figure 1 about here

Methodology

To realise our beliefs-based individual-level EO typology, a two-staged study design is planned. In the first stage, we conceptualise our psychological EO model of a beliefs-based individual-level EO typology. To do so, we draw from established approaches from psychology to identify theories, concepts, and validated individual-level scales for each of the five EO components that may fit our individual-level EO perspective. To robustly ground our conceptualisation, we will also conduct in-depth semi-structured interviews with different populations (i.e., single venture entrepreneurs and habitual entrepreneurs). As such, the first stage's beliefs-based individual-level EO typology will be established using a conceptual lens, rich qualitative data, and apply theory from psychology.

In stage two, we aim to move from a beliefs-based individual-level EO *typology* to an empirically derived *taxonomy*. To achieve this, we develop a beliefs-based individual-level EO measurement instrument that is grounded in the psychology literature and establish content validity (i.e., the extent to

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which the measurement items represent the domain). Subsequently, we employ the beliefs-based content validated individual-level EO scale to different populations of entrepreneurs and top-level managers to test our individual EO typology's conceptualisation and empirically derive a beliefs-based individual-level EO taxonomy. Lastly, by utilising Sieger et al.'s (2016) Social Identity Scale of Entrepreneurs, we also aim to establish criterion validity (i.e., prediction for particular outcomes) of our individual EO measurement instrument. Our sample populations will be drawn from multiple countries of the Entrepreneurs' Organization.

Contributions

Our combined studies contribute to theory and practice. From a theoretical perspective, we enhance the EO literature by (1) establishing a psychological foundation for individuals' entrepreneurial orientation. Further, the study offers (2) validation of a beliefs-based individual-level EO scale's content and criterion and (3) establishing an empirically validated beliefs-based individual-level EO taxonomy. By making EO relevant to different individual populations comprising committed entrepreneurs and top-level managers from various countries and industries, we also (4) extend EO's audience. Consequently, this belief-based individual-level EO measurement instrument (5) can serve as a robust departure for solid multilevel research (i.e., group, team, organisation, and society) exploring cross-level effects (Hitt, Beamish, Jackson, & Mathieu, 2007). Therefore, it may have the potential to identify discrepancies between individuals' EO beliefs and organisational behaviours within and across teams.

A multilevel approach is also particularly interesting for practitioners. By exploring different levels of analyses, shared configuration patterns may be identified to add a more nuanced comprehension of how specific groups configure. For example, by assessing and comparing the individual-level EO types of a successful sales department in contrast to a less successful one, the individual-level EO measures

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may disclose valuable insights into which configurations are high-achieving and most successful ceteris paribus.

Conclusion

We highlighted the opportunity to harness EO's established benefits on the most granular level, a psychological EO model that explores distinct underlying beliefs of individual entrepreneurs and managers. This beliefs-based individual-level perspective contributes to our understanding of EO on all analysis levels because the individual sits at the root of entrepreneurship. Through configuring individual EO types, we aim to enhance our knowledge about which configurations are high-achieving and most successful in specific contexts. In addition, certain configuration patterns can be identified through this approach to accurately bridge the analysis' levels and add a more nuanced understanding of 'how' firms can capture value.

Therefore, taking a psychological perspective and examining EO on an individual level of analysis offers a valuable concept that helps to explain how decision-making and action under uncertainty create and captures value because "you don't have to be an entrepreneur to have an entrepreneurial orientation" (Lumpkin & Pidduck, 2021, p. 57).

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FIGURE 1
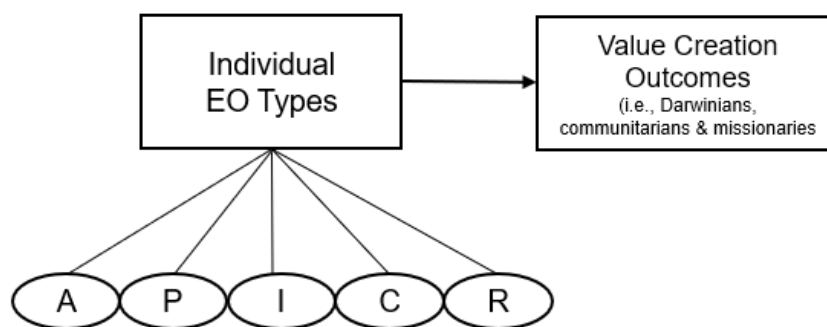
First-Order: Beliefs-Based Individual EO Types
Second-Order: **A**utonomy, **P**roactiveness, **I**nnovativeness, **C**ompetitiveness, **R**isk-Taking

The moderating effect of Performance Appraisal on the Relationship Between Compensation and Benefits and Employee Turnover Intention: A case of the Sri Lankan IT Sector

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The moderating effect of Performance Appraisal on the Relationship Between Compensation and Benefits and Employee Turnover Intention: A case of the Sri Lankan IT Sector

ABSTRACT:

Employee turnover is well-known for being both expensive and disruptive to business operations. Compensation and benefits have been identified as one of the main factors implicating employee turnover. However, not all organizations can afford to pay competitive compensation and benefits to retain employees and therefore have to resort to other human resource management interventions such as performance appraisals.

This study quantitatively examines how performance appraisal (due process and the purposes of performance appraisal) moderates the relationship between compensation and benefits (financial and non-financial) and employee turnover intention. Primary data was collected from 213 employees from various Sri Lankan IT firms on a questionnaire containing 120 items. The data were analysed using the Structural Equation Modelling technique.

The findings of this study confirmed previous findings that compensation and benefits have a negative relationship with turnover intention. However, the uses and due process of performance appraisal showed no significant moderating effect on the impact of compensation and benefits, on turnover intention.

Keywords: turnover intention, compensation and benefits, organizational justice, performance appraisal, due-process of performance appraisal, IT sector

BACKGROUND AND RESEARCH QUESTIONS

Increasing employee turnover is a major concern for organizations of all sizes, leading to critical challenges such as, increased hiring expenses, increase in time and cost spent on orientation and training, negative impact on innovation, decreased productivity, significant delays in delivering services, and the loss of clients who were dedicated and loyal to the employees who are leaving (Jayatissa & Lekamge, 2019; Nasir & Mahmood, 2016).   Hale (1998) indicates that employee recruiting cost typically range from 50 - 150 % of the employee's first-year pay and that it is higher for more advanced high-skill jobs, indicating that turnover is indeed expensive for organisations. (Bryant & Allen, 2013; Das, 2017).

Extensive studies on employee turnover have identified various factors contributing to turnover, managerial factors, working environment, compensation, fringe benefits, perceived alternative career opportunities, the influence of co-workers (Mamun & Hasan, 2017), and personal characteristics of employees (DeMicco and Giridharan, 1987). Compensation and benefits has been studied extensively in relation to turnover as one of the most crucial factors

influencing employee turnover (Bryant & Allen, 2013; Chepchumba & Kimutai, 2017). However, to date, there are mixed findings on the impact of compensation and benefits on turnover and turnover intention (Sethunga & Perera, 2018; Silaban & Syah, 2018). Additionally, employees of larger organizations, tend to stay with the employer for a longer period when compared to employees of smaller organizations. Furthermore, the effect created by an employee leaving an organisation is relatively larger on a small firm compared to a larger firm (Hope & Mackin, 2007).

In this research, we posit that performance appraisals as a dominant activity conducted in organisations to have a bearing on the relationship between compensation and benefits and turnover intention. We specifically test a hypothesised moderating impact of the uses of performance appraisal (employee development, reward allocation, and legal documentation) and the due process of performance appraisal (adequate notice, fair hearing, and judgement based on evidence). Despite previous studies confirming that there is a strong positive relationship between employee turnover and compensation and benefits (Cao et al., 2013; Sethunga & Perera, 2018; Silaban & Syah, 2018), limited past studies have focused on the moderating impact of the performance appraisal system, and more specifically its due process and the purposes of performance appraisal on the relationship between compensation and benefits and turnover intention. This paper is based on two research questions: (1) What is the relationship between compensation and benefits and employee turnover? (2) What is the moderating impact of performance appraisal on the relationship between compensation and benefits and employee turnover?

We adopt a quantitative approach and survey strategy. Data collection was done online via a questionnaire consisting of 112 items on a five-point Likert scale, which was sent to employees of several Sri Lankan IT companies. Convenience sampling was used, and responses were received from 215 IT professionals based in Colombo, Sri Lanka. The data collected were analysed using statistical techniques using the SPSS 23.0 and AMOS 23.0 software.

The statistical analysis conducted on the empirics found that (1) there is a negative relationship between compensation and benefits and turnover intention. Non-financial benefits contribute more to this relationship, (2) non-financial benefits have a greater impact on the turnover

intentions of younger employees in IT than financial benefits, and (3) the relationship between compensation and benefits and turnover intention is not moderated by the due process of performance appraisal and the purposes of performance appraisal. Our contributions are three-fold: (1) we empirically tested a scarcely tested moderating relationship of purposes of PAs and due purposes of PAs, and (2) the insignificant moderating relationship substantiates the literature which questions the real impact of performance appraisal and also indicating that there could be several other factors that should be prioritised in organisations other than performance appraisal to reduce employee turnover intentions.

The next section of the paper discusses the literature on turnover intention, compensation and benefits, performance appraisal and the organisational justice theory. We then discuss the methods adopted in the research before presenting the findings and the discussion emanating from it. We conclude with the theoretical and practical contributions, the limitations and the avenues for future research emanating from this study.

LITERATURE REVIEW

Employee Turnover Intention

Employee turnover is defined in numerous ways in the literature. In this research we consider it to be the rotation of employees across the labour market that includes rotations between companies, jobs, professions, as well as between states of employment and unemployment (Abbasi & Hollman, 2000). As per An (2019); Jayatissa and Lekamge (2019) and Ongori (2007), turnover can be voluntary; when employees choose to quit on their own or involuntary; when employers fire or lay off employees, or due to retirement, death, disability, or transfer (Hausknecht & Trevor, 2011; Mamun & Hasan, 2017; Shaw et al., 1998).

Factors influencing voluntary turnover are discussed by many authors to be; (1) the attractiveness of present employment (Hulin et al., 1985), (2) the availability of alternatives (Hulin et al., 1985); (3) dissatisfaction with compensation and benefits; (4) lack of job elements such as appreciation, exciting assignments, opportunities for rotation, training and development, work-life balance, and discontent with the job (Firth et al., 2004; Mendis, 2017; Ongori, 2007; Rahman et al., 2008; Ramlall, 2003). Additionally, an employee's inability to meet the organization's

expectations, inadequate skills, and lack of loyalty to the organization can also lead to an employee quitting (Smith 2009). Furthermore, employees are less likely to stay in an unpredictable work environment where there is poor organizational culture, ineffective leadership, instability, poor reputation, and job security (Hope & Mackin, 2007; Ramlall, 2003; Smart & Chamberlain, 2016).

There is common agreement that turnover is one of the most expensive and unresolvable human resource management related problems (Daileyl & Kirk, 1992). Turnover is believed to reduce productivity, efficiency and morale of employees, which makes it harder for businesses to achieve their objectives (Abbasi & Hollman, 2000; Khan & Aleem, 2014). However, contrary to this, it is also argued that moderate levels of employee turnover could result in an influx of new ideas, energy, and strategies that can help the company achieve greater results (Hellman, 1997 as cited in Bhatt & Sharma, 2019). Turnover which is seen as an inherent problem in organizations can be avoided to some extent by more efficient and effective human resource practices (Mamun & Hasan, 2017) such as compensation and benefits, and performance appraisals which are the foci in this paper.

Compensation and Benefits

Compensation and benefits are the rewards given to employees in exchange for their services (Vulpen, 2020), motivating them and acting as a powerful tool for communicating organizational objectives and priorities (Shuster & Zingheim, 1993).

Compensation and benefits is categorised as financial benefits, and non-financial benefits (Bhatt & Sharma, 2019; Darma & Supriyanto, 2017; Nienaber et al., 2011). Base pay, bonuses, commissions, profit-sharing, share allocation, pensions, insurance, paid leave/vacations, and vehicles, are all considered financial benefits (Bhatt & Sharma, 2019; D.Babjohn et al., 2020; Vulpen, 2020). Non-financial benefits are those that do not require any direct payment and are often derived from the job itself and include work-life balance, performance recognition, career advancement opportunities, learning and development, sound procedures, competent managers, a friendly, comfortable and safe workplace (Dessler & Tan, 2006; Nienaber et al., 2011; Yamoah, 2014).

Compensation and benefits have a high correlation with turnover intention than other factors (A'yuninnisa & Saptoto, 2015; Darma & Supriyanto, 2017; Dorothée et al., 2018; SHRM, 2016). Investments in compensation and benefits are found to help organizations in minimizing turnover (Iqbal et al., 2017; Mendis, 2017; Osterman, 1987 as cited in Shaw et al., 1998). According to Hope and Mackin (2007), offering benefits reduces the likelihood of an employee quitting within a year by 26.2% and raises the likelihood of remaining another year by 13.9%. Given this evidence in the literature, we hypothesise that,

Hypothesis 1a: There is a negative relationship between financial benefits and turnover intention.

Hypothesis 1b: There is a negative relationship between non-financial benefits and turnover intention.

Performance appraisal

Performance appraisal is considered an important human resource management practice where an employees' present and/or previous performance is evaluated with respect to their performance objectives (Boswell & Boudreau, 2002; McCourt & Eldridge, 2003). It has a statistically significant relationship with employee retention (Gulzar, 2017). The formal performance reviews and fairness of performance evaluation has a strong negative association with the probability of turnover (Kampkötter, 2017; Nawaz & Pangil, 2016), whereas malpractices in performance appraisals can lead to employee turnover intention (Poon, 2004).

Purposes of performance appraisal: Cleveland et al. (1989) classify the purposes of performance appraisal as organisational and individual-oriented purposes. According to Cleveland et al., (1989), even though there are a variety of purposes of performance appraisal, it is primarily used for compensation management and performance feedback. When compensation is linked to performance appraisal, employee satisfaction with it is high (Giles & Mossholder, 1990). We specifically focus on the organizationally oriented purposes, which can be further categorized as *employee development, reward allocation and legal documentation* (Murphy and Cleveland, 1991).

Due process of performance appraisal: In legal terms, due process refers to fair, equitable, and just procedures for enforcing laws. It assures notice, an opportunity to be heard, and a decision

by an impartial decision-maker based on a fair and well-established legal procedure (Eberle, 1987). Folger et al., (1992) generalised and adapted the due process metaphor to performance appraisal and identified three characteristics of it to be adequate notice, a fair hearing, and a judgement based on evidence.

Adequate notice necessitates organisations to publish, distribute, and explain performance expectations to staff, as well as discuss how and when those standards must be met and provide regular and timely performance reviews. *Fair hearing* requires a structured appraisal meeting in which employees are informed of a preliminary evaluation of their performance and how it was derived. Employees are enabled to challenge their assessment and provide their perspectives. Fair hearing demands that staff be trained in the appraisal process so that they can challenge assessments that they believe are unjust. *Judgment based on evidence* necessitates that the organizations enforce performance standards uniformly to all employees without falling victim to external interference, corruption, or personal bias (Folger et al., 1992; Taylor et al., 1995).

Theory of organizational justice

We use the theory of organisational justice as a determinant theory, where organizational justice is defined as the perceived fairness of an organisation from an employee's perspective (Byrne & Cropanzano, 2012). According to organisational justice scholars, fairness can be categorized into two main categories and a third less precisely specified category: (1) ***distributive justice*** - fairness of the results of a given decision; (2) The second form is ***procedural justice*** - fairness of the processes that contribute to the result; and (3) ***interactional justice*** - fairness of one's interpersonal treatment by an authority figure (Bies and Moag 1986).

Application of organizational justice theory: Employee turnover intentions are found to be strongly influenced by organizational justice (Daileyl & Kirk, 1992; Mengstie, 2020; Rastgar & Pourebrahimi, 2013; Cao et al., 2013). Employees would be more likely to stick to their current employment if they believe that justice is being served in the organisation (Harris et al., 2007; Imran & Allil, 2016; Rastgar & Pourebrahimi, 2013). Employee perceptions of compensation fairness have an impact on a variety of employee and organizational outcomes, including job

performance and satisfaction (Adams, 1965; Cohen-Charash & Spector, 2001; Colquitt et al., 2001).

Greenberg (1986) introduced seven categories that led to *performance appraisal* fairness expectations under procedural and distributive justice. Supervisors seeking input before the evaluation and using it throughout the evaluation, two-way communication between supervisor and subordinate during the performance appraisal meeting, an employee's right to challenge or question the rating, rater's qualities such as consistency in adapting criteria, and rater's experience on the position being rated were included in the five procedural categories. The distributive category involved the occurrence of performance-based ratings, as well as pay and promotion outcomes based on the ratings.

Purposes of performance appraisal and due process of performance appraisal along with organizational justice theory allowed us to hypothesise the moderating effect as;

Hypothesis 2: Performance appraisal moderates the relationship between compensation and benefits and turnover intention.
and benefits and turnover intention.

The conceptual framework given in Figure 1 was developed based on the above discussion of the variables and relationships among the variables.

Insert Figure 1 about here

METHODOLOGY

Research Design, Respondents and Context

We adopted a quantitative approach and a survey strategy in this research. Quantitative, primary data was collected using a questionnaire administered online among IT workers chosen from a convenience sample from Sri Lankan IT firms of various sizes. We received 215 responses out of which 213 were used for the analysis. The data was statistically analysed using the SPSS 23.0 and AMOS 23.0 software.

Sri Lankan IT industry was purposively chosen as the context of this study as it is the country's fourth-largest source of export revenue and expected to grow steadily over the next

decade (Attygalle, 2019), employing 124,873 (ICTA, 2019). Further, previous research have revealed alarming insights regarding this context specifying that 94% of employees are not satisfied with their current job and a staggering 24% of employees plan to quit if they receive a better work offer from another IT firm within Sri Lanka and a further 24% planned to leave if they receive a career offer or a permanent migration opportunity to a foreign country (Jinadasa & Wickramasinghe, 2005). Therefore, a study on turnover intention in this context is of practical and contextual value.

Measures

The measures in the data collection instrument were either validated instruments adopted or adapted as necessary to suit the context and our study.

Compensation and Benefits: Both the importance of financial benefits ($\alpha = 0.851$) and satisfaction of financial benefits ($\alpha = 0.887$) were measured using 10 items. The importance of non-financial benefits ($\alpha = 0.9522$) and the satisfaction on non-financial benefits ($\alpha = 0.85$) was measured using 22 items (Nienaber et al, 2011) using a five-point Likert scale ranging from 1 (Not important/ Low) to 5 (Very important/ very high).

Due process of Performance Appraisals: Adequate notice was measured using 10 items ($\alpha = 0.931$), while the fair hearing was measured using 7 items ($\alpha = 0.849$), and judgement based on evidence using 7 items ($\alpha = 0.888$). These items were adapted from Nawaz et al. (2011) and Taylor et al. (1995). All items were measured on a five-point Likert scale ranging from 1 (strongly disagree) to 5 (strongly agree).

Purposes of Performance Appraisals: Employee Development was measured using 6 items ($\alpha = 0.889$), while reward allocation was measured using 7 items ($\alpha = 0.889$) , and legal documentation was measured using 5 items ($\alpha = 0.877$). These items were adapted from Elverfeldt (2005), Esch & Woerkom (2017), and Ikramullah (2012). All items were measured on a five-point Likert scale ranging from 1 (strongly disagree) to 5 (strongly agree).

Turnover Intention: Was measured using 6 items ($\alpha = 0.848$) (Mobley, Horner & Hollingsworth, 1978; Price and Mueller, 1986) on a five-point Likert scale ranging from 1 (strongly disagree) to 5 (strongly agree).

Control Variables: Demographic details such as gender, age, marital status, employment category, tenure, number of years of experience, and the nature of the performance appraisal system (automated or manual) were included as control variables.

RESULTS

The data have been analysed using correlation and SEM moderated analysis technique with the help of SPSS 23.0 and AMOS 23.0. Table 1 demonstrated the mean, standard deviation, and correlation measures of the study variables. The mean value for satisfaction with financial benefits is 2.84; which shows that the respondents are not satisfied with the financial benefits they receive at their current organization. However, employees are satisfied with the available non-financial benefits (mean value is 3.13). Nevertheless, the mean values of the importance of financial and non-financial benefits, 3.78 and 3.90 respectively, show that respondents consider both types of benefits as almost equally important, but their satisfaction with same is just above average. The mean values for moderating effect of due process of performance appraisal, and the purposes of performance appraisal are 3.60 and 3.54 respectively. Finally, intention to stay and turnover intention have mean values of 2.81 and 2.94, respectively.

Table 1 reveals that compensation and benefits dimensions (Financial benefits and Non-Financial benefits) correlate negatively with turnover intention (r = - 0.147, P < 0.05 and r = - 0.188, P < 0.01 respectively). Due process of Performance Appraisal (r = - 0.298, p < 0.01) negatively correlate with turnover intention, with r-values of where 0.262, 0.217, and 0.347 respectively (p < 0.01) for Adequate notice, Fair hearing, and Judgment based on evidence. Purposes of Performance Appraisal (r = - 0.281, p < 0.01), too negatively correlates with turnover intention with the calculated r-values as; 0.273, 0.238, and 0.263 respectively (p < 0.01) for Employee Development, Reward allocation, and Legal documentation.

Insert Table 1 about here

Measurement Model

Confirmatory factor analysis was performed to ensure the internal consistency and construct and discriminant validity of the measurement scale. The composite reliability of turnover intention (0.951), financial benefits (0.856), non-financial benefits (0.890), due process of

performance appraisal (0.949), and purposes of performance appraisal (0.957) ensured the reliability of the data. Further, according to Hair et al. (2014), having the AVE values for all constructs above 0.5 ensured the construct validity of the model. Consequently, optimum discriminant validity was achieved for all the constructs. However, there was a discriminant validity issue for due process of performance appraisal and purposes of performance appraisal.

<div align="center">Insert Table 2 about here</div>

Model fit indices were used to evaluate the goodness of the measurement model. The goodness of fit measures ensures, how well the given model reflects the observed covariance matrix among the indicator items. We used the root mean squared error approximation (RMSEA), minimum discrepancy per degree of freedom (CMIN/DF), normed fit index (NFI), comparative fit index (CFI), and Tucker - Lewis Index (TLI) to evaluate the model fit indices. CMIN/DF value is 2.001 which is almost equal to the threshold value. Therefore, this study is considered an acceptable model fit for the CFA model. Similarly, the RMSEA value is 0.069, which is less than 0.07 indicating that the model is well-fitting. The CFI, NFI, and TLI were also used to determine the goodness of the model. The results of CFI (.823), NFI (.706), and TLI (.815), which are nearly close to the threshold value of 0.9, represent the goodness of the model.

Structural Model:

SEM (AMOS v23) was used to measure the hypothesis of our study. The first hypothesis is tested to examine whether compensation and benefits directly relates to turnover intention. With regards to Hypothesis 1a output data, financial benefits indicated a 0.237 of negative relationship with turnover intention (β = - 0.237, p-value < 0.001), where the relationship with and non-financial benefits and turnover intention too was negative (β = - 0.298, p < 0.001). This implied that, when non-financial benefits are increased by one unit, it reduces the turnover intention of the employees by 0.298 units.

The second major hypothesis of this study is that performance appraisal has a moderating effect on the relationship between compensation and benefits and turnover intention. It was determined that the due process of performance appraisal (Hypothesis 2a) does not have any

significant moderating effect on the relationship between compensation and benefits and turnover intention. Further, it was determined that the purposes of performance appraisal also do not have any significant moderating effect on the relationship between compensation and benefits and turnover intention.

DISCUSSIONS

We observe a significant, yet weak negative relationship between compensation and benefits and employee turnover intention which is consistent with the literature. It is also important to note that the majority of the study's participants (86.9%) were between the ages of 26 and 35, indicating their lack of experience and higher tendency to leave their organization if their performance rewards are not satisfactory (Sethunga & Perera, 2018).

We also found that non-financial benefits had a greater impact on employee turnover intention. This too supports existing literature which asserts that they are other non-financial factors that influence employee turnover intentions (Chepchumba & Kimutai 2017; Nasir & Mahmood, 2016; Bryant & Allen, 2013)However, the local study done by Sethunga and Perera (2018) posits that the negative correlation between turnover intention and monetary rewards was slightly higher than that with non-monetary rewards which is contradictory to our findings.

The study revealed that neither due process nor purposes of performance appraisal have a significant moderating effect on the relationship between compensation and benefits and employee turnover. Several studies have identified the direct effect of performance appraisal on turnover intention, as well as the role of organizational justice on employee turnover intention, and thereby our hypothesis. We believe that this result could have been influenced by the high labour demand within the Sri Lankan IT labour market. With extreme competitiveness, the entry of large multinational IT companies, as well as the scarcity of IT knowledge workers in the country, where the companies are willing to pay higher compensation packages to attract the best talent, making the opportunity cost of leaving one's current job almost insignificant. This might be one of the key reasons why performance appraisals do not seem to have a bearing on the relationship between compensation and benefits and employee turnover as hypothesised in this study. Age and turnover intention has been proven to have a significant negative relationship (Hayes, 2015; Jinadasa &

Wickramasinghe, 2005; Smart & Chamberlain, 2016) indicating that compensation and benefits may be of more importance to the young Sri Lankan IT workforce than performance appraisal and the organizational justice tenants thereof.

The results could have also been influenced by the ineffectiveness of performance appraisals in achieving their intended goals, such as organizational justice. Several studies claimed that performance appraisals are ineffective and demotivate employees, and should be eliminated (Grubb, 2007; Murphy, 2020). Another possibility is that, in the context of the Sri Lankan IT sector, performance appraisal could have a mediating effect rather than the hypothesized moderating effect which should be explored further. Furthermore, the data collection for this study happened during the COVID – 19 pandemic where employment was characteristic by instability and the economy was facing a downturn in Sri Lanka as well as globally (Bohingamuwa et al., 2020; Brodeur et al., 2020; Su et al., 2021) where employees would have put on hold any intention to quit the organisations that they work for and would have placed priority on compensation and benefits and have less priority on organisational justice.

CONCLUSION

This study contributes to the compensation management and organizational justice literature, by connecting compensation and benefits, employee turnover and performance appraisal. In doing so it has identified the factors that may minimize the impact of compensation and benefits on employee turnover intentions. This also substantiates the literature which questions the real impact of performance appraisal.

This study provides insights to organizations in the Sri Lankan IT sector, particularly those that are smaller. The findings indicate that employees value both financial and non-financial benefits equally, but non-financial benefits have a greater impact on employee turnover intentions. Another key takeaway for the practice is that performance appraisal has no effect on the impact of compensation and benefits and turnover intention and that they should explore further as to why this could be the case and any other factors that could moderate this relationship. This leaves the research problem open for further investigation.

This study is not one without limitations. It was conducted during a period of economic and political instability caused by the COVID-19 pandemic which may have had an impact on the responses given by the respondents. In contrast to the past, job security and organizational stability have suddenly become a major concern for employees, and many employees have lost their jobs. This study did not consider the impact of this on employees' decisions to leave or stay. Further, the inherent limitations of using a quantitative approach and a survey strategy with a convenience sample applies to this research as well.

Since this current study was conducted during a period of economic and political uncertainty, it could be repeated as a longitudinal study that could give useful insights on post-pandemic intentions of turnover. Furthermore, qualitative research into employee perceptions of how performance appraisals affect their intention to leave should be conducted. Moreover, a similar study could be replicated in a variety of other industries, allowing the findings to be generalized.

The only factor that was tested for the moderating effect in this study was performance appraisal, which was found to be insignificant. Since the research problem remains uncovered, future research may investigate other factors that could act as moderators. Therefore, The impact of perceived fairness (Landy et al., 1978; Long et al., 2013) of performance appraisal on the relationship between compensation and benefits and turnover intention can be studied in future.

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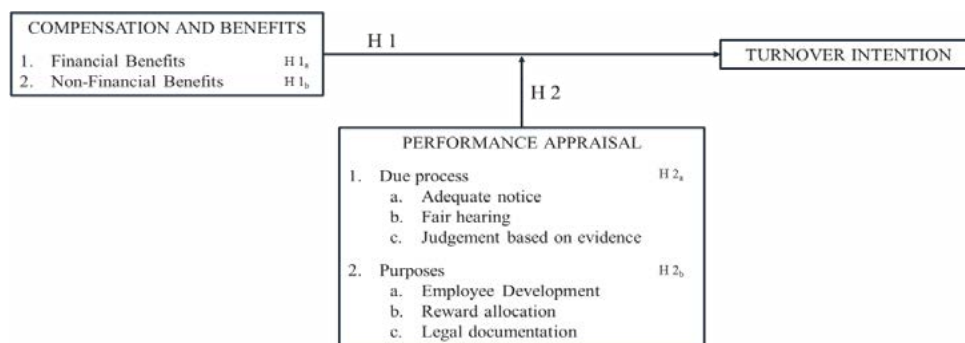Vulpen, E. van. (2020). *A Full Guide to Compensation and Benefits*. AIHR Digital. https://www.digitalhrtech.com/compensation-and-benefits/

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FIGURES

Figure 1: Conceptual Framework

TABLES

Table 1: Mean, Standard deviation, and Correlation

	Mean	SD	1	2	3	4	5	6	7	8	9	10	11
1. Financial Benefits	2.84	0.8	-										
2. Non-financial Benefits	3.9	0.66	.687**										
3. Adequate Notice	3.49	0.76	.191**	.290**									
4. Fair Hearing	3.63	0.77	.137*	.277**	.781**								
5. Judgement	3.69	0.76	.162*	.240**	.767**	.795**							
6. Due process of PA	3.6	0.71	.176**	.291**	.918**	.930**	.924**						
7. Employee Development	3.55	0.80	0.101	.192**	.669**	.718**	.781**	.782**					
8. Reward	3.51	0.79	.208**	.309**	.625**	.637**	.714**	.713**	.752**				
9. Legal Documentation	3.55	0.87	.242**	.312**	.666**	.637**	.710**	.726**	.733**	.815**			
10. Purpose of PA	3.54	0.75	.202**	.296**	.711**	.722**	.799**	.805**	.899**	.929**	.929**		
11. Intention to Stay	2.81	0.81	-0.101	-.195**	-.452**	-.482**	-.488**	-.513**	-.442**	-.492**	-.427**	-.493**	
12. Intention to Leave	2.94	0.72	-.147*	-.188*	-.262**	-.217**	-.347**	-.298**	-.273**	-.238**	-.263**	-.281**	-.279**

Note: N = 213

***p<0.001, **p<0.01, *p<0.05

Table 2: Summary of average variance extracted, composite reliability, and discriminant validity

Construct	CR	AVE	Discriminant Validity
Turnover intention	0.951	0.584	0.764
Financial Benefits	0.856	0.671	0.819
Non-financial Benefits	0.890	0.504	0.710
Due process of performance appraisal	0.949	0.611	0.782
Purposes of performance appraisal	0.957	0.521	0.722

Note: N = 213

1

10. Public Sector, NGOs and Not-for-Profit

"The Mother Campus is Far, Far Better than Here":

Managing Equivalence Issues in Global University Branch Campuses

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10. Public Sector, NGOs and Not-for-Profit

"The Mother Campus is Far, Far Better than Here":

Managing Equivalence Issues in Global University Branch Campuses

ABSTRACT: A prominent form of transnational higher education is international branch campuses: offshore university satellites that recreate the international-student experience in remote locations. International branch campuses are positioned as smaller-scale mirrors of their headquarters campuses, with equivalent programs and services. However, the extent to which international branch campuses successfully replicate parent-campus offerings is unclear. This paper addresses the question of cross-campus equivalence from the perspective of branch-campus lecturers. Our grounded-theory research on Australian branch campuses in Asia found that branch-campus lecturers perceive significant resource disparity between branch campuses and their parent campuses. Lecturers noted disparities in campus facilities, support resources and diversity that may impede branch-campus delivery of globally-equivalent educational experiences. We present these findings and offer recommendations for university management.

Keywords: Global universities, transnational higher education, international management, international branch campuses, multinational enterprises

"The Mother Campus is Far, Far Better":

Managing Equivalence Issues in International Branch Campuses

INTRODUCTION

Public-sector organizations often rely in some part upon funding from income-generating activities. In the higher-education sector, this need is paramount. With limited public funding for universities, these institutions' financial sustainability depends in part on income generated from student enrollments. International enrolments are particularly helpful to this effort, given that international students typically pay full tuition and extend enrolment opportunities beyond the university's domestic base (Kreuze, 2017). In recent decades, many entrepreneurial universities have sought to expand their international enrolments by launching transnational ventures overseas (Knight, 2016). A prominent form that this effort has taken is international branch campuses (IBCs): offshore university satellites which deliver international educational experiences to students in their home countries. More than 250 IBCs now exist worldwide; Australia, the U.S. and U.K. are major exporters, with branch campuses largely located in Asia and the Middle East (Cross–Border Education Research Team, 2021).

Despite the prominence of international branch campuses, research exploring this context has been limited (Kosmützky & Putty, 2016). Existing IBC literature is largely focused on home-country perspectives regarding the launching and strategic management of these ventures; less known is the views of host-country stakeholders about these global enterprises (Siltaoja, Juusola & Kivijärvi, 2019). Insights about the day-to-day operations of IBCs are needed—particularly in regards to the IBC lecturers who deliver global instruction offshore (Knight & Liu, 2017). In this paper, we contribute to knowledge about branch campus lecturers' perspectives, presenting their views on a topic critical to IBC success: the experiential equivalence of parent and branch campus offerings.

BACKGROUND

International branch campuses are brick-and-mortar satellites of their global universities, meant to evoke the parent campus and mirror its services (Wilkins & Rumbley, 2018). Central to the IBC value proposition is experiential equivalency across campuses: the idea that "students at the branch have a

similar student experience to students at the home campus" (Wilkins & Rumbley, 2018, p. 14). IBC tuition is typically higher than that of local universities, creating expectations for a premium international-student experience. Insufficiently delivering a globally resonant student experience may impede student retention (Hughes, 2011), potentially imperiling campus viability (Healey, 2018).

Previous literature has highlighted the management challenges for IBCs in delivering an authentically global student experience. Wilkins (2018) notes that IBCs typically operate with limited financial resources, preventing the wholesale mirroring of headquarters services. Healey (2018) and Shams and Huisman (2016) emphasize the geographic and cultural divides that may impede the flow of parent-campus standards and practices to the IBC, interfering with the transfer of "parent-campus DNA" that reinforces IBCs' global brand (Salt & Wood, 2014). Throughout this literature, the human actors involved in student engagement at IBCs emerge as critical to the global-mirroring endeavor.

Offshore lecturers who deliver global instruction are central to IBC's efforts to remotely recreate the parent-campus experience. As frontline representatives of their universities, IBC lecturers animate the parent campus at the IBC. Their interactions with IBC students can reinforce or undermine students' image of the IBC, imbuing their roles with significant influential power (Heffernan, Wilkins & Butt, 2018; Hughes, 2011). However, despite the positioning of IBC lecturers as global brand representatives, these actors' views about their organizations and roles within them are largely unknown. Our research seeks to understand how IBC lecturers see themselves and their campuses as part of their wider universities, and how these constructed individual and organizational identities impact IBC lecturers' performance in their student-facing roles. This paper presents a key finding from our research, illustrating IBC lecturers' perceptions of equivalence between their campus and university headquarters.

LITERATURE REVIEW

Global universities benefit when IBC lecturers positively reinforce their campuses' global ethos to students. Such pro-organizational behavior is directly linked with employees' levels of identification with their organizations (Mael & Ashforth, 1992). Many factors contribute to employees' levels of organizational identification; of interest to this paper is employees' perceptions of how their organization

is viewed by others. An employee who believes that their organization has a positive reputation is more likely to identify with it: Their "perceived external prestige" of their organization prompts them to identify with it and share in its prestige (Smidts, Pruyn, & Van Riel, 2001). This link between perceived external prestige and organizational identification can also have a negative outcome: If employees perceive their organizations as having low prestige, they may identify less with them and thus be less likely to perform supportive role behaviors (Mishra, 2013).

In the international branch campus context, organizational identification processes have an additional layer of complexity. IBCs are "nested" organizations: influenced by the reputation of their larger universities, yet capable of having their own distinct organizational identity (Gioia, Price, Hamilton & Thomas, 2010). An IBC lecturer may thus construct a local campus identity with its own perceived external prestige, based in part on the campus' positioning within its university. Employees' perceptions of their positioning within the organization and the respect that they feel they are given impacts their organizational identification (Sulentic, Znidar, & Pavicic, 2016). A perceived lack of respect, like a perceived lack of external prestige, can impede employee identification and commitment, limiting pro-organizational role behaviors (Sušanj Šulentić, Žnidar & Pavičić, 2017).

This brief review of organizational-identification literature reinforces the importance of global university leaders understanding how IBC lecturers perceive their campuses' positioning and prestige. This paper presents insights from our research on this topic.

METHODS

The findings presented in this paper draw from a larger study of how IBC lecturers construct identities for themselves and their IBCs as part of their global universities. The methodology used was constructivist grounded theory (Charmaz, 2014), a variant of the grounded theory method pioneered by Glaser and Strauss (1967), which emphasizes development of theory from emic data—building it "from the ground up" (Charmaz, 2014, p. 120). Constructivist grounded theory preserves the original method's emic focus while emphasizing its social-constructionist roots, exploring the social actions and processes at work in a research context: the co-construction of reality among participants (Charmaz, 2014).

In 2018 our first author visited four Australian IBCs in Southeast Asia—two in Malaysia and two in Singapore—and interviewed 37 lecturers and leaders about their perspectives on their IBCs and their global universities. These one-on-one, semi-structured interviews involved a range of open-ended questions about participants' views and experiences, inquiring also about their perceptions of IBC students' views and experiences. Interviews were audio-recorded, and the recordings were transcribed and uploaded to Nvivo for analysis. Our analysis produced hundreds of initial codes which were then refined to a few dozen focused codes, eventually producing a set of related grounded theories about IBC lecturers' professional and organizational identity constructions.

A major finding of this research was that IBC lecturers we interviewed constructed their branch campuses as detached from their university headquarters. A key reason for this is lecturers' perception of widespread resource disparity between these campuses. Below we present related findings, summarizing relevant data and illustrating them with exemplary de-identified extracts. Because our focus is on general patterns across campuses, we do not distinguish between research sites; the pseudonym "AusInt" ("Australian International University") is used for all universities, with "AusCity" representing parent campus locations.

FINDINGS

IBC lecturers who participated in this research generally conveyed a sense of commitment toward their IBCs. Most said that they believe that their campuses are generally providing quality instruction, and they shared stories of their personal contributions to this quality through their teaching and student support. However, participants' positive framings of the IBC typically occurred when they were considering the campus in its local context. When participants spoke about the IBC in comparison to its parent campus, concerns about equivalence, image and respect often surfaced.

A major theme across these data is a sense of inequity in the student experience across campuses. Many participants framed their branch campuses as contextually challenged environments, burdened by limitations that they believe do not exist at parent campuses. Exacerbating this constructed disadvantage is IBC lecturers' perceptions of their parent campuses as resource-rich environments, where students and

staff are more fully supported. Participants' views of cross-campus disparity converged around three focal points: disparity in campus facilities, disparity in student-support resources and disparity in campus diversity. These findings are summarized below, with extracted data exemplifying each realm of concern.

"Not enough equipment to support my teaching": Disparity in cross-campus facilities

IBCs included in this research contained the basic facilities that Wilkins and Rumbley (2018) consider essential for an educational site to be considered a branch campus: brick-and-mortar locations, with classrooms, libraries and dining facilities—scaled-down versions of essential parent-campus elements. However, despite the official presence of these facilities, participants often saw their overall campus environments as minimal and lacking. The limitations of the built environment were commonly cited by participants as a tangible distinction between IBCs and their much-larger parent campuses.

The sense of disparity in campus environments was particularly acute for lecturers who had spent time at the parent campus and were familiar with its more robust facilities. This awareness of cross-campus difference resonated in their anticipation of the student experience at the IBC. For example, in imagining how Australian study-abroad students viewed the IBC upon arrival, one participant compared her campus to that of a secondary school rather than a university, noting the following:

> I can see their faces… I think they're surprised like how small it is and everything, whereas you know they're coming from a campus, you know a proper campus with, like, accommodation on campus and stuff.

For this participant, her IBC's lack of on-campus housing is one example of the contextual limitations that prevent it from achieving the "proper campus" status of the university headquarters. This extract illustrates participants' sense of cross-campus disparity in the built environment. While several participants spoke with enthusiasm about IBC facilities expansions and improvements that had been made during their tenure, their comparison of parent and branch campus environments conveyed a sense of awe toward the former and dissatisfaction toward the latter. As another participant phrased it:

> The mother campus is far, far better than here… In terms of the classroom facility equipment… The environment as well.

This participant's framing of his university's main campus as "far, far better" than the IBC represents a widespread view among lecturers we interviewed. He perceived disparity within the overall environments of parent and branch campuses, and noted particular concern with differences he perceived in classroom technologies across campuses. This lecturer noted his awareness of the parent campus' technologically-enhanced classrooms with multiple projection screens—tools he said he wished he had access to at the IBC. He felt that basic educational tools were limited at the IBC, and that this limitation challenged his ability to deliver the global curriculum to the global standards he aspired to. He described lobbying administrators for better resources but feeling dissatisfied with the result, saying:

> *I find that it's still not enough equipment to support my teaching if I want to have more innovative teaching methods.*

In some cases, concerns about the disconnect between the promised and possible student experience prompted lecturers to manage the expectations of potential students, informing them of the IBC's resource limitations. For example, one science lecturer noted his surprise when viewing the laboratory equipment available to him, and he advised potential students accordingly:

> *Facilities wise, it was quite frustrating to me at the lab because I could see [it was] far from ideal, which is why I was very upfront about this [with potential students]: "This is what you can do, this is what you perhaps cannot do [at the IBC].*

Lacking the appropriate equipment to deliver parent-campus equivalent learning experiences, this lecturer ensured that potential students understood the campus' limitations before enrolling at the IBC.

The extracts shared in this section demonstrate IBC lecturers' awareness of their campuses' facilities and the impact of these facilities on the student experience. In identifying cross-campus disparity in facilities, these lecturers anticipate teaching challenges and student disappointment, questioning their IBCs' ability to deliver on their global value proposition. These extracts suggest that participants perceived a low level of external prestige for their campuses as compared with their more prestigious university headquarters campuses. The limitations of the built environment are a source of concern and even embarrassment for lecturers—images that may impede their organizational identification and performance.

"Where am I gonna look for all the support?": Disparity in student-support resources

Another key area of perceived disparity in cross-campus experiences is the support services provided to students and lecturers at the IBC versus the parent campus. Overall, particpants framed local services as lacking, particularly in regards to meeting the unique needs of offshore international students. An example of this concern was noted by a participant who spoke of his challenges in striving to adequately support English-language learners in the English-medium coursework of the global university:

> *[At the parent campus] English is already the mother tongue… but when it comes to here, I know that we're gonna have problems writing, doing referencing, things like that… So main [campus] convener, basically they just teach what you need, but then if students have problems with doing citations, they have somebody who can [help]. Because they have a bigger campus, they have more manpower, and here we have one little [disciplinary] component, and I'm the only one, the only convener. So where am I gonna look for all the support to have them doing citations? Who am I going to look for in terms of helping them to improve on their English?... So I have to do everything on my own!... So a three full-person job in [parent campus] and everything is consolidated into one person here… And you expect to do equally the same outcome and we follow the same outline and things like that.*

This participant makes several comparisons between parent and branch campuses, constructing the latter as disadvantaged. He describes extensive writing-support services to help parent-campus students—whom he assumes to be first-language users of English—and contrasts this resource bounty with a lack of writing support for IBC students, for whom English is largely an additional language. The frustration this lecturer feels at this disparity is palpable: he rhetorically asks "where am I gonna look for all the support?" and laments his responsibility to do "everything on my own!" Interestingly, this participant draws a direct connection between this resource disparity and his responsibility for delivering a global curriculum, noting frustration at expectations for him to work to the "same outcome" and follow the "same outline" as parent campus colleagues despite his fewer resources.

While this lecturer's framing of inadequate student-support resources connotes a burden for him as a lecturer, other lecturers also stressed frustration in its perceived burden on students, feeling that

students at the IBC are not supported as well as parent-campus students. For example, one participant noted the following regarding support for students with learning difficulties:

> *From an ethical point of view I find it quite tough when I'm teaching students who I know have severe learning difficulties and I feel it's very unfair for them to be in this position, they're not capable of doing it… There is support [at the IBC] but I wouldn't say necessarily that there is adequate support.*

This lecturer expressed awareness of learning-difference support at the parent campus, but without sufficient onsite support for these challenges at the IBC, she felt she was unable to adequately support her students. Her belief that some of her students are incapable of doing the global university coursework poses an "ethical" problem for her, putting her in the position of teaching and assessing students that she believes are not being properly supported. She was frustrated by this issue because she felt that the resources to better support students' learning difficulties were at some level a simple matter of knowledge sharing, yet her requests for resource sharing across campuses had gone unanswered.

This challenge of disparity in student-support resources across campuses differs from that of campus facilities in the sense that resources can often be supplied virtually. In the case above, the lecturer simply needed guidance from parent-campus experts; similarly, the writing-support needs noted by the previous participant could have been conceivably addressed through digital support services provided by headquarters staff. Since student-support resource disparity could be addressed more easily than facilities disparities, participants expressed frustration when resources were not shared—particularly given the unified image that global universities typically project. As one participating lecturer said,

> *When we talk about AusInt there is always the face of one AusInt… And whenever discrepancy happens [IBC lecturers] will say that, "Hey we are one AusInt; why don't we have access to this?*

These extracts illustrate IBC lecturers' perceptions of disparity in student-support resources across campuses, highlighting their frustration when resources are held by headquarters and not shared with global colleagues. This resource disparity creates a sense of disenfranchisement: IBC lecturers see their campuses as low priorities within the organization, treated with less respect than their headquarters campuses. In this way, the perceived external prestige of these IBCs is also framed as low by these

participants—likely impacting their identification and behavior.

"The whole cultural effect… we cannot replicate": Disparity in campus diversity

A third finding regarding how IBC lecturers envision cross-campus equivalence relates to their views on campus diversity. While all IBCs included in this research enrolled some international students and coordinated mobility programs with their parent campuses, their student bodies remained predominantly local, lacking the diversity of their Australian parent campuses. For many lecturers, the lack of significant exposure to students from different cultures was seen as a considerable IBC disadvantage, hampering the marketplace of ideas at the IBC and restraining students' development as global citizens. As one participant said of IBC students,

> *I think being stuck in your culture and being familiar with everyone else around you—most of the people around you—sort of puts you into this comfort zone that gets you a little bit too complacent with everything.*

This participant referenced the idea of IBC students being "stuck in [their] culture" several times in our discussion, tying it as above to students being in a "comfort zone" that restricts their development. He said that familiarity with campus interlocutors makes students "a little bit too complacent," preventing them from engaging in the kind of identity-forging experiences often associated with university life.

This concern about the homogeneity of the IBC campus body echoed throughout this research data, with several participants endorsing study-abroad opportunities as a way for IBC students to gain exposure to more diverse perspectives. The participant quoted above shared a hope that in engaging in mobility offerings, students would "bring back" diverse views to the IBC. Yet toward the goal of effectively replicating the vibrant campus culture of the headquarters site he felt little hope, noting that

> *There's a lot of effort being done to what we're trying to do here to be identical to what you will get over in AusCity campus, as well. Except the whole lifestyle as a student, the whole cultural effect here you get on campus that we cannot replicate no matter what.*

These extracts illustrate another aspect of perceived inequivalence between parent and branch campuses. Participants question IBCs' ability to deliver on the global ethos that is these campuses' key

selling point, suggesting that homogeneous populations at IBCs prevent students from experiencing a truly diverse global experience. In this way, too, IBCs are framed as having a low-prestige external image in comparison to the truly global image of university headquarters.

DISCUSSION AND RECOMMENDATIONS

This paper has presented findings from our research on IBC lecturers' emic views of cross-campus equivalence, highlighting lecturers' perceived disparity between the parent campus and IBC in the areas of campus facilities, student-support resources, and campus diversity. These perceived disparities contribute to an overall framing of IBCs as lacking the appropriate resources to deliver on their market promise of parent-campus-equivalent learning experiences. These disparities themselves are concerning, but also concerning is the fact that these influential lecturers *perceive* these resource limitations. Given that IBC lecturers play a central role in animating the global university for students (Hughes, 2011), if lecturers view their campuses as low-prestige, disrespected appendages to their wider universities, they will be less likely to identify with and support their university's agendas. Lecturers' perceptions of organizational inequities and detachment may even surface during their interactions with students, potentially undermining their IBCs' global value proposition.

The challenge faced by global university leaders is therefore a material issue as well as one of organizational identity: Leaders need to address the resource limitations of IBCs as well as strive to influence IBC lecturers' perceptions about their campuses' organizational integration. Organizational perceptions are formed by members through a combination of sensegiving (receiving messages from leaders) and sensemaking (drawing inferences from one's own experiences) (Gioia, Price, Hamilton & Thomas, 2010). IBC lecturers we interviewed were aware of sensegiving messages from university headquarters—such as the "One AusInt" mantra noted by one participant. However, IBC lecturers' day-to-day experiences of resource disparity may promote sensemaking that contradicts this inclusive messaging. Feeling that one has the same responsibilities as headquarters colleagues without equivalent facilities and resources can exacerbate the sense of organizational separation between parent and branch campus—an impression that may then be reified in lecturers' engagement of IBC students. To address

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these issues, we recommend that global university leaders seek to mitigate cross-campus disparities and provide meaningful support to IBC lecturers as they deliver global university programs offshore. Specifically, we recommend the following improvement steps:

Improve IBC facilities

Participants in this research described their IBCs as lacking the teaching technologies of the parent campus, as well as the latter's awe-inducing grandeur. While the smaller scale of IBCs will likely always require more modest designs than parent campus built environments, universities should devote sufficient financial resources to ensuring that IBC facilities include the equipment needed to deliver global-standard educational experiences. If funds allow, leaders might also pay greater attention to the aesthetic design of IBC campuses, evoking the parent campus to reinforce global connections.

Emphasize facilities alternatives

The ways in which IBC lecturers are engaged by parent-campus colleagues might also help to mitigate the sense of disparity that they feel regarding campus facilities. Several participants who described limited IBC facilities had based their perceptions on insights gained during their visits to their parent campuses. While lecturer mobility should not be restricted due to this perception outcome, more care in coordinating IBC lecturers' parent-campus visits may be helpful. Parent-campus colleagues who host IBC colleagues' visits could, for example, emphasize not just the equipment at their disposal but the teaching goals that this equipment helps them to achieve; they could then lead IBC lecturers in discussions of alternative ways of meeting these goals with the resources that are available to them.

Share digital resources across campuses

IBC lecturers expressed concerns about cross-campus disparities in student-support resources, noting frustration when these resources could be shared across campuses but are not. While improving campus facilities may be a cost-intensive undertaking, extending student-support services from the parent campus to the IBC can to some extent be done digitally. For example, diagnostic assessments identifying learning difficulties typically exist at parent campuses and could be shared with their IBCs, perhaps along

with best-practice guidance for addressing various learning challenges. More ambitiously, the English-language support could be provided virtually by parent-campus tutors based at headquarters locations.

Expand student interaction across campuses

Our findings highlight IBCs' need for exposure to cultures from beyond the IBC's country and region. One way of achieving this is improving student-to-student interactions across campuses. Parent campuses could better utilize their offshore locations for parent-campus students' study abroad opportunities, and collaborative online international learning (COIL) courses could be offered virtually, connecting students at the IBC and parent campus. By increasing this exposure, global universities could enhance their headquarters offerings while supporting IBC diversity.

CONCLUSION

The field of transnational higher education has long been aware that the value proposition of branch-campus ventures lies in their equivalence with the parent campus: the sense that the university is reaching across international divides, bringing the headquarters study experience to students in remote locations. IBC lecturers play an active role in delivering these global experiences, yet their ability to do so is impaired by the cross-campus disparities outlined in this paper. IBC lecturers need access to the resources enjoyed by their parent-campus colleagues; they also need to experience the communication and respect that helps them to view their campuses as legitimate and integral to their universities: prestigious enterprises with which they can proudly identify. Successful management of global universities requires addressing equivalence issues and engaging and supporting IBC employees.

This paper contributes to the need for greater insights on IBC operations, sharing perspectives on cross-campus equivalence from lecturers who work in these remote locations. While these findings shed important light on the views of IBC lecturers about their global work, there is more to be learned about this complex and understudied research context. We recommend that researchers continue to examine the views of on-site IBC stakeholders, as well as explore how operational shifts following the COVID-19 pandemic might impact the experiential equivalence goals and perceptions that we have discussed.

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02 Organisational Behaviour

Seeing Success Through Rose Colored Glasses: On the "Positivity Bias" in Job Performance Research

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Seeing Success Through Rose Colored Glasses: On the "Positivity Bias" in Job Performance Research

ABSTRACT: Job performance is one of the most studied outcome variables in organizational behavior. Despite this volume of research, however, we argue that one reason job performance remains poorly understood is because research on it suffers from a "positivity bias": a dual tendency amongst researchers to link high (or increases in) performance to positive psychological variables, and low (or decreases in) performance to negative psychological variables. We present evidence of this positivity bias from an analysis of 20 years of hypothesizing on job performance, across 3 prominent organizational behavior journals. We also discuss potential causes of this bias, and conclude by presenting some recommendations for cultivating a more balanced understanding of the psychology of success in the workplace.

Keywords: Job performance, emotions, conceptual, literature review

Jonny Wilkinson is widely regarded as one of the best rugby players of all time. He was instrumental to England's Rugby World Cup victory in 2003, and had a storied career across several of Europe's top clubs. In addition to being extremely successful, though, he has also suffered from performance anxiety for most of his life. In his autobiography, Wilkinson (2013) reflects on the often-crippling nature of this anxiety, and its detrimental effects on both his on-field performance and general well-being. Yet at many other times in the book, he frames his anxiety not as debilitating but surprisingly functional, even deeming it a critical contributor to his exceptional levels of performance:

> "Anxiety has always been there in me, but no matter how painful it can be, I know it's what gives me the edge. It's the anxieties that keep me buzzing." (Wilkinson, 2013, p. 177)

This double-edged relationship with the "darker" aspects of one's psychology is by no means unique to Wilkinson: many elite performers in other domains have described how issues such as anger (e.g., Steve Jobs), bipolar disorder (e.g., Kanye West), and insecurity (e.g., Taylor Swift) have both harmed *and* helped their professional performance. Despite the prevalence of such accounts, though, rarely are these elite performers' nuanced relationships with the darker aspects of their psychology reflected in the pages of today's organizational behavior[1] journals. Scholars familiar with these journals can perhaps intuit what we mean by this: contemporary research on the drivers of job performance tends to view the path to success through rose colored glasses, as one where the best performers are highly satisfied in their work, optimistic, emotionally intelligent, resilient, and so on.

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[1] For simplicity, we herein use "organizational behavior" as an umbrella term intended to also capture industrial-organizational and applied psychology, though we acknowledge that these fields have distinct histories, and are not necessarily equivalent with one another.

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Put more formally, we argue that there is a "positivity bias" in job performance research: a dual tendency amongst researchers to link high (or increases in) performance to positive psychological variables, and low (or decreases in) performance to negative psychological variables. This bias seems to have persisted despite cautions about ostensibly "positive" factors being detrimental under certain conditions and/or at certain levels (see Pierce & Aguinis's [2011] notion of the "too much of a good thing effect"). In addition, a small but growing body of research has demonstrated how seemingly "negative" psychological factors (e.g., anger, anxiety) can – again, under certain conditions and/or at certain levels – be beneficial for performance (Allred, Mallozzi, Matsui, Raia, 1997; Beehr, Jex, Stacy, & Murray, 2000; Cheng & McCarthy, 2018, Perkins & Corr, 2005; Woodman et al., 2009).

To be clear, we are not disputing that positive psychological variables make an important contribution to job performance, nor are we claiming that negative psychological variables are always (or even *mostly*) beneficial for performance. Rather, our argument is that, as a collective body of knowledge, the job performance literature has overstated the *extent* of the contribution of positive psychological variables to job performance, potentially at the expense of understating the contribution of the more mundane and even darker aspects of people's psychology (e.g., unpleasant emotions, self-doubt, negative thoughts). This positivity bias is problematic, because it results in a skewed and ultimately deficient understanding of what drives people to succeed in the workplace. Our central aim in this paper, then, is to spark and set a platform for efforts to correct this state of affairs, and ultimately facilitate a more balanced understanding of the psychological drivers of job performance.

We do so in three steps across three sections. First, drawing on our analysis of 20 years' of hypothesizing on job performance across 3 prominent organizational behavior journals, we provide evidence of a positivity bias (as defined above) in research on job performance. Second, we consider why exactly this positivity bias exists (and persists) in research on job performance, canvassing factors such as the rise of the positive psychology movement, the influence of North American cultural values on organizational behavior, and methodological myopia. Finally, we present a series of recommendations intended to bring balance to the field, and ultimately help scholars develop more comprehensive theory on job performance.

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Before proceeding, it is crucial we clarify our use of the terms "positive psychological variable" and "negative psychological variable". Without further explanation, these seem like rather blunt categories, particularly given that most variables conceivably have both positive and negative elements. High trait competitiveness, for instance, might be very beneficial for completing work on time and to a high standard, but less beneficial for maintaining harmonious relationships with colleagues. We want to be clear, then, that we see the term "positive psychological variable" merely as an efficient shorthand for *a variable that generally evokes more psychological pleasantness than unpleasantness, and which is generally appraised by people as more socially desirable than undesirable, and generally appraised by people as more functional in the workplace than dysfunctional.* Through this definition, we accommodate the fact that all variables likely have both positive and negative elements, but also reserve the possibility of making an overall determination of the positivity of a variable by weighing these elements against each other. We see the term "negative psychological variable" as a shorthand for the inverse of this definition.

IS THERE A POSITIVITY BIAS IN JOB PERFORMANCE RESEARCH? EVIDENCE FROM 20 YEARS OF HYPOTHESIZING

Admittedly, and consistent with the notion of abductive research (Sætre & van de Ven, in press), the genesis of this paper was a collective hunch rooted in shared experiences with the job performance literature. As researchers, however, we felt compelled to interrogate our hunch, and examine whether there is indeed a positivity bias in this literature. While most reviews focus on what researchers have found, our interest here was in what researchers *expected* to find, as represented in their hypotheses. As for our own hypotheses, they were as follows:

Hypothesis 1: Researchers hypothesize positive associations between independent variables and job performance significantly more than negative associations

Hypothesis 2: Researchers hypothesize positive associations between positive psychological variables and job performance significantly more than negative associations

Hypothesis 3: Researchers hypothesize negative associations between negative psychological variables and job performance significantly more than negative associations

Method

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Collection of articles. We chose to collect a large, representative sample of articles on job performance. Specifically, we collected articles from journals that exclusively publish research on organizational behavior, with a focus on those generally regarded as representative of the nature and quality of research in the field. At the time of writing we have collected articles from the following three journals[2]: *Human Relations, Journal of Applied Psychology,* and *Journal of Organizational Behavior.* From each journal, we collected any articles based on empirical research published between 2000 and 2020 that included the word "performance" in the title, and which indeed contained job performance as a dependent variable in the study. When applying these selection criteria, we adopted a broad and inclusive position as to what constituted job performance[3] (e.g., some papers focused on task performance, others on creative performance, and so on). We included meta-analyses with hypotheses in our sample, but not literature reviews or purely conceptual papers. We did not encounter any qualitative studies in collecting articles (we discuss the significance of this point later). Through this process, we ultimately collected 260 articles.

Coding of hypotheses. For each article, we recorded all hypotheses listed, and subsequently coded the hypotheses to identify the independent, moderating, and mediating variables encapsulated in each. For independent and mediating variables, we also recorded their ultimate hypothesized association with job performance (i.e., positive, negative, or other e.g., curvilinear). For moderating variables, we recorded what form of moderation the study authors hypothesized (i.e., strengthens/weakens positive main effect, strengthens/weakens negative main effect, determines main effect direction, other e.g., moderates curvilinear effect). During this process, 8 studies (3% of our initial sample of 260 articles) proved to have hypotheses that were not amenable to this form of coding owing to the complexity of the proposed effects, or the sheer number of hypotheses (i.e., more than 10). For these reasons, we omitted these studies from the dataset. Given our focus on psychological

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[2] We intend to also collect articles from the following journals in the near future: *Journal of Business Psychology, Journal of Occupational & Organizational Psychology, Journal of Vocational Behavior, Organizational Behavior & Human Decision Processes*, and *Personnel Psychology.*

[3] We acknowledge that the meaning and measurement of job performance is a contentious issue (Motowidlo, 2003; Visweswaran & Ones, 2000), but trust that readers will be able to discern that here we are concerned with job performance as a broad phenomenon, rather than its intricacies and varieties.

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variables, the first author worked through each list of variables and removed non-psychological variables (e.g., those related to behavior, or team- or organizational-level factors, such as organizational structure) prior to proceeding to analysis (272 of the initial 814 variables were removed for this reason). At the conclusion of this process, we had a list of 277 independent variables, 114 moderating variables, and 151 mediating variables. Note that commonly-studied variables (e.g., conscientiousness, self-efficacy) appeared several times in each list.

Rating the positivity and negativity of variables. Our final step before analysis was to gauge the "positivity" and "negativity" of each of the variables in our lists. Consistent with other psychological perspectives (Cacioppo & Berntson, 1994; van Harreveled, Nohlen, & Schneider, 2015), and cognizant of the fact that most variables likely have both positive and negative elements, we did not conceptualize positivity/negativity as two levels of a dichotomy or opposing ends of a single continuum, but rather as two distinct continua. Following this logic, the first three authors independently coded each of the variables from the hypotheses according to three dimensions of positivity (psychological pleasantness, social desirability, and naïve functionality) and three dimensions of negativity (psychological *un*pleasantness, social *un*desirability, and naïve *dys*functionality). We used the following rating scale: 3=High, 2=Moderate, 1=Low, 0=Hard to say. When only one rater rated a variable on a particular dimension as "hard to say", we replaced the 0 with the average rating of the other two raters. When two or more raters rated a variable on a particular dimension as "hard to say", we discussed the variable and either arrived at a mutually agreed coding, or removed it from the dataset (5 independent variables and 4 moderating variables were removed for this reason). Inter-rater reliability was 90% or above for all measures. Once all "hard to say" ratings had been resolved, we then averaged the three authors' ratings of each variable on each dimension to obtain an overall measure for each dimension, and subsequently averaged again across the dimensions to attain overall measures of positivity and negativity for each variable across the three lists. We certainly acknowledge the degree of subjectivity inherent to this rating process[4], but we sought to temper its influence through using multiple raters blind to each other's ratings and using three

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[4] To enhance neutrality, in the near future we intend to have the variables rated by individuals naïve to the focus of this study, but familiar with the organizational behavior literature.

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measures of variable positivity and negativity. We also sought to avoid irrational ratings of variables by invoking the "hard to say" rating option. Importantly, we also sought to rate each variable based on our more intuitive sense of how people *typically* experience it (and how researchers typically treat it in research), rather than detailed, systematic consideration of *all* possible experiences/views of the variable.

Results

We first analysed our list of independent variables. **In support of Hypothesis 1, 70% of the variables were hypothesized in their respective studies to be positively associated with performance, 23% negatively associated, and 7% were hypothesized to have other relations, such as curvilinear**. The means and standard deviations of the positivity- and negativity-related variables are presented in Table 1, and correlations amongst them in Table 2. All variables showed a significant difference (p < 0.001) between mean number of negative hypothesized associations with performance and mean number of positive hypothesized associations, such that **variables hypothesized to be positively associated with performance were on average higher in positivity (M=2.68, SD=0.40) relative to those hypothesized to be negatively associated with performance (M=1.29, SD=0.51). Similarly, variables hypothesized to be negatively associated with performance were on average higher in negativity (M=2.59, SD=0.55) than those hypothesized to be positively associated with performance (M=1.18, SD=0.31). Figure 1 provides a visual summary of these results.**

Insert Tables 1 and 2, and Figure 1 here

We tested our other hypotheses using multinomial logistic regression, which we deemed appropriate given our ordinal predictor variables (i.e., variable positivity and variable negativity) and categorical dependent variable with more than two categories (i.e., hypothesized associations with performance) (Tabachnick & Fidell, 2001). We first included variable positivity as a predictor of the hypothesized association with performance. Results (Table 3) support a significant model fit χ^2 (2, *n* =271) = 180.80, *p* < .001. Variable positivity significantly predicted positive hypothesized

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associations with performance ($b = 3.61$, *S.E.* $= 0.41$, $p < 0.001$) as well as other hypothesized associations ($b = 2.446$, *S.E.* $= 0.48$, $p < 0.01$). We calculated the corresponding odds ratios, which indicate the change in likelihood of membership in one of the three categories (i.e., positive, negative or other association with performance) for each unit of increase in variable positivity. **In support of Hypothesis 2, a one unit increase in variable positivity made it more than thirty-six times more likely for the variable to be hypothesized as positively (rather than negatively) associated with performance.** Classification statistics (Table 4) show which group membership was best predicted by the model with variable positivity as a predictor. Variable positivity correctly predicts positive and negative associations with performance with a respective accuracy of 95.3% and 88.7%.

Insert Tables 3 and 4 here

We also tested our hypothesis related to variable negativity using multinomial logistic regression, using variable negativity as a predictor of the hypothesized association with performance. Results (Table 5) support a significant model fit χ^2 (2, $n =271$) $= 188.89$, $p < .001$. Variable negativity significantly predicted negative hypothesized associations with performance ($b = 3.74$, *S.E.* $= 0.43$, $p < 0.001$) as well as other hypothesized associations ($b = 1.459$, *S.E.* $= 0.457$, $p < 0.01$). **In support of Hypothesis 3, a one unit increase in variable negativity made it more than forty-two times more likely for the variable to be hypothesized as negatively (rather than positively) associated with performance.** Classification statistics (Table 6) for variable negativity as a predictor show that the model correctly predicts hypothesized positive and negative associations with performance with a respective accuracy of 96.8% and 86.5%.

Insert Tables 5 and 6 here

We also tested our hypothesis using the data from the 151 mediating variables. Results were virtually identical to those obtained from our analysis of the independent variables, and supported a significant model fit, and significant associations between variable positivity and negativity and hypothesized association with performance.

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Finally, we assessed our list of moderating variables for any relevant patterns. Of the 110 moderating variables we collected, 63 (57%) were hypothesized as strengthening (n=44) or weakening (n=19) a positive main effect, 30 (27%) as strengthening (n=8) or weakening (n=22) a negative main effect, 14 (13%) as determining the direction (positive/negative) of a main effect, and 3 (3%) were classified as other forms of moderation (e.g., moderating a curvilinear effect). When these results are viewed in conjunction with those from our analysis of the independent and mediating variables, a clear picture emerges that confirms our initial hunch: research on job performance has indeed focused largely on positive psychological variables having a positive impact on performance, and what moderating factors magnify or diminish the extent of this impact.

WHY IS THERE A POSITIVITY BIAS IN JOB PERFORMANCE RESEARCH?

Having presented evidence of a positivity bias in job performance research, we now turn to consider the most significant and likely causes of this bias. Before doing so, however, we address a question that many may be wondering at this point in the discussion: *does the positivity bias simply reflect reality?* To what extent is the pattern of hypothesizing we have uncovered not "biased," but rather an accurate reflection of the configuration of factors that actually shape job performance? Such a view echoes the longstanding assumption in both management research and practice that "happy workers make productive workers" (e.g., Judge, 2009; Judge, Erez, & Bono, 1998). We certainly agree with this view to an extent: a sizable degree of performance is no doubt the result of pleasurable psychological elements and pathways. Yet the actual *degree* of the skew in researchers' focus on positive variables is crucial to consider here. Our results above demonstrate not merely a slight positivity bias but an *overwhelming* one, the likely implication of which is distorted theory on job performance that overlooks the contribution of less positive psychological variables. It seems worthwhile, then, to consider why exactly this bias exists.

The Rise of Positive Psychology

In mainstream psychology, the late 1990s and 2000s saw the rise of what would come to be known as positive psychology (Seligman & Csikszentmihalyi, 2000; Sheldon & King, 2001). Central to this movement was the charge that psychologists had historically dedicated disproportionate attention to human pathologies ("fixing the broken"), and relatively little attention to so-called human

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flourishing ("making the good even better"). The positive psychology movement ushered in a new era of research, with phenomena such as well-being (Diener, 2000), flourishing (Frederickson & Losada, 2005), and flow (Csikszentmihalyi, 2011) becoming major topics of inquiry. Inevitably, the waves created by the positive psychology movement rippled through to organizational behavior, where researchers echoed the need for "positive organizational behavior" as a specific and legitimate field of inquiry, one that focused on variables such as hope, optimism, and psychological capital in the workplace (Luthans, 2002; Luthans & Youseff, 2007; Wright, 2003). This "positivity turn" in organizational behavior has no doubt provided valuable insights into the psychology of job performance, but somewhat ironically given its original aims, our results above suggest we have perhaps turned too far the other way.

Managerialism and the Need for a "Good News Story"

Scholars in the field of critical management studies have long critiqued mainstream management research for suffering from "managerialism": a tendency to prioritize the needs, values, and perspectives of managers over those of non-managers, such as frontline workers and other organizational stakeholders (Delbridge & Keenoy, 2010; Parker, 2002). The job performance literature is arguably prototypical of this tendency, with the espoused motivation for so many studies being a desire to help managers better understand, and importantly, *take action* to enhance their employees' productivity. Of course, an unspoken implication in much of this research is that managers can and indeed *should* intervene in the psychic worlds of their employees (Hochschild, 2012). For managers, employees, and other stakeholders, this mental manipulation is unlikely to be problematic so long as it concerns positive psychological variables and mechanisms. For organizational behavior scholars, however, this contingency creates a dilemma: on the one hand, our scholarly identity demands we understand reality as comprehensively as possible, yet on the other hand, our identity as self-styled "consultants" steers us towards conducting research that is palatable for managers. Most researchers, for example, are likely comfortable conducting a study where the practical implication is along the lines of "if you want your employees to perform better, you should make them feel good". Far fewer (if any) are likely to be comfortable with a practical punchline like "if you want your employees to perform better, you should make them angry and insecure." This is no doubt a blunt example, and to

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be clear, we are not suggesting that researchers endorse or promote such views. But we do believe we have a scholarly duty to *investigate the validity* of such views. The continued pursuit of "good news stories" for dissemination to managers and the wider public, however, potentially impedes such investigations, and is one reason why equally consequential but less palatable paths to performance continue to be underrepresented in research and theory.

Methodological Myopia

As mentioned earlier, in collecting articles on job performance using our search parameters (i.e., any article published since 2000 in *Human Relations, Journal of Organizational Behavior,* or *Journal of Applied Psychology* with the word "performance" in the title), we encountered exactly zero studies adopting a qualitative approach. This finding highlights an additional potential reason for the positivity bias in job performance research: the dominance of deductive, quantitative research designs. The commonality of the deductive aspect is particularly problematic. With deductive research, *a priori* hypotheses are developed based on existing theory and research. Such an approach is no doubt useful for connecting new studies to existing ones, and therefore ensuring integration in scholarly knowledge over time, but the perpetual risk is that implicit assumptions in a field are rarely surfaced, let alone challenged (Alvesson & Sandberg, 2011). This risk is heightened when a deductive approach is not only common but overwhelmingly dominant in a field, as our findings suggest is the case in research on job performance. The lack of qualitative studies of the drivers of job performance is likely equally consequential. Qualitative methods are prized for their ability to reveal the complexity and nuances of phenomena (Pratt, Kaplan, & Whittington, 2020), something which is clearly needed in research on the drivers of job performance.

WHERE TO FROM HERE? RECOMMENDATIONS FOR OVERCOMING THE POSITIVITY BIAS

Our overarching recommendation for overcoming the positivity bias is admittedly quite simple, but nevertheless crucial if we wish to develop more comprehensive theory on job performance. In short, we see a need for researchers to actively hone more nuanced mindsets about what psychological factors drive (or prevent) people from performing at high levels in the workplace. The longstanding "happy workers make productive workers" axiom undoubtedly has a hefty kernel of

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truth, and associated research has likely caused a good number of real-world workplaces to evolve in more humane and ethical directions. Yet we believe there is a bigger, more complex theoretical story waiting to be told, and that certain tools and exercises are likely to be particularly helpful in telling it.

First, we encourage researchers to pursue more integrative, theoretical work that explains why, how, and when more neutral and even negative psychological variables affect performance – both directly and in interaction with more positive variables. At present, we suspect that one reason researchers are not empirically studying such mechanisms is because they are less intuitive: it is quite easy to imagine ways in which negative psychological variables are detrimental to performance, but conceiving of ways or conditions under which they might be beneficial is more challenging. Yet while preparing this paper, we have encountered some enlightening articles that shed light on this issue (Cheng & McCarthy, 2018; Lazarus, 2000), and which could serve as helpful models and inspiration for future theoretical work. As part of such efforts, researchers should seriously consider the possibility that qualitatively different factors and mechanisms may explain the performance of individuals at different points on the performance curve. In their meta-analysis, for instance, Beus and Whitman (2012) found that there indeed is a distinction as to what is considered typical or maximum performance, and that there was a significant difference in the association of certain psychological variables, such as cognitive ability, depending on the nature of the performance (i.e., maximum performance is more influenced by cognitive ability, but typical performance is more influenced by personality [Klehe & Anderson, 2007; Witt & Spitzmüller, 2007]). Such a perspective aligns with emerging research on star performers in organizations (Aguinis & O'Boyle, 2014; Call, Nyberg, & Thatcher, 2015), which is grounded in the assumption that theories developed to explain the performance of "the average worker" do not necessarily apply to elite performers.

From an empirical standpoint, we also recommend that researchers explore curvilinear effects in studies of job performance far more often than they do currently. A mere 7% of the independent variables we collected were hypothesized to ultimately have a relationship other than a linear one (be it positive or negative) with performance. Most would surely agree that there are many more variables that likely have positive effects on job performance at certain levels, but null or even negative effects at others. In fact, we would venture that *most* psychological variables likely fit this description. We

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therefore echo calls by others (Pierce & Aguinis, 2011) for researchers to develop hypotheses and research designs that explore such curvilinear effects. Relatedly, researchers should more regularly explore moderating effects that not only strengthen or weaken a linear (positive or negative) effect of an independent variable on performance, but more fundamentally determine the nature of the relationship. Only 13% of the moderating variables in our review fell in this category, but much like curvilinear effects, more studies of such effects are crucial if we wish to better understand the drivers of job performance. Researchers might understandably feel unnerved by such calls to action, as they might entail use of unfamiliar analytical procedures, but there are ways in which such challenges can be overcome, including collaboration, conference activities, and seeking out advice and resources from expert colleagues. In addition, the lack of any qualitative studies of job performance noted earlier stands tall as a problem to be addressed by researchers, journal editors, and conference organizers.

Last but certainly not least, we encourage job performance and indeed organizational behavior researchers generally to critically reflect on their identities, and associated assumptions about the purpose of their work (e.g., Bothello & Roulet, 2019; Empson, 2013). As explained, we face a tension as scholars in an applied field: on the one hand, the pull to develop as deep and comprehensive an understanding of life in organizations as possible; on the other, the push to produce "good news stories" that make palatable prescriptions for management practitioners. Our results suggest that for the past two decades, the latter concern has beat out the other in our community, indicating an urgent need for a conscious, collective effort to re-balance our priorities. Beyond this, though, we also caution that our current conception of what constitutes a "good news story" (i.e., a positive psychological variable being positively associated with job performance) is myopic and misguided. Straightforward, upbeat findings might be an "easy sell" to practitioners, but at what long-term costs for all parties involved? Is not a more balanced and comprehensive picture of what drives performance in the workplace the true "good news story"? With the positivity bias uncovered and clear to see, it is high time that we challenge our assumptions in this regard, and think more critically and carefully about the psychology of success in the workplace.

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Table 1 - Means and Standard Deviations of the Predictor Variables

	Positive Hypothesized Association with Performance		Other Hypothesized Association with Performance		Negative Hypothesized Association with Performance	
	Mean	*SD*	*Mean*	*SD*	*Mean*	*SD*
Psychological Pleasantness	2.53	0.50	2.16	0.60	1.22	0.49
Social Desirability	2.76	0.47	2.37	0.74	1.25	0.59
Functionality	2.70	0.36	2.47	0.54	1.32	0.52
Overall Variable Positivity	**2.68**	**0.40**	**2.35**	**0.67**	**1.29**	**0.51**
Psychological Unpleasantness	1.21	0.36	1.58	0.64	2.61	0.59
Social Undesirability	1.15	0.37	1.45	0.65	2.63	0.58
Dysfunctionality	1.18	0.29	1.43	0.55	2.53	0.56
Overall Variable Negativity	**1.18**	**0.31**	**1.49**	**0.58**	**2.59**	**0.55**

Table 2 – Correlations Among the Predictor Variables

	Social Desirability	Functionality	**Variable Positivity**	Psychological Unpleasantness	Social Undesirability	Dysfunctionality	**Variable Negativity**
Psychological Pleasantness	.90**	.86**	.95**	-.91**	-.87**	-.82**	-.89**
Social Desirability		.93**	.97**	-.93**	-.96**	-.91**	-.96**
Functionality			.95**	-.90**	-.93**	-.94**	-.94**
Variable Positivity				-.94**	-.94**	-.90**	-.95**
Psychological Unpleasantness					.95**	.92**	.98**
Social Undesirability						.95**	.99**
Dysfunctionality							.97**

** $p < 0.01$ level

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Table 3 - Multinomial Logistic Regression Results for Variable Positivity

	Variable Positivity				
	b	SE	Odds Ratio	95% LCI for Odds Ratio	95% HCI for Odds Ratio
Positive vs. Negative Hypothesized Association with Performance	3.61**	0.41	36.96	16.47	82.92
Positive vs. Other Hypothesized Association with Performance	1.16**	0.41	3.20	1.45	7.09
Negative vs. Other Hypothesized Association with Performance	-2.45**	0.48	0.09	0.03	0.22

** *p* < 0.01 level

Table 4 - Classification Statistics for Variable Positivity

	Model *Predicted Positive* Hypothesized Association with Performance	Model *Predicted Negative* Hypothesized Association with Performance	Model *Predicted Other* Hypothesized Association with Performance	Percent Predicted Correctly by Model
Variable *Actually* Has *Positive* Hypothesized Association with Performance	181	9	0	95.30%
Variable *Actually* Has *Negative* Hypothesized Association with Performance	7	55	0	88.70%
Variable *Actually* Has *Other* Hypothesized Association with Performance	16	3	0	0.00%

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Table 5 - Multinomial Logistic Regression Results for Variable Negativity

|	Variable Negativity				
	b	SE	Odds Ratio	95% LCI for Odds Ratio	95% HCI for Odds Ratio
Negative vs. Positive Hypothesized Association with Performance	3.74**	0.42	42.13	18.37	96.61
Negative vs. Other Hypothesized Association with Performance	2.28**	0.47	9.79	3.93	24.37
Other vs. Positive Hypothesized Association with Performance	1.46**	0.46	4.30	1.76	10.54

** $p < 0.01$ level

Table 6 - Classification Statistics for Variable Negativity

	Model *Predicted Positive* Hypothesized Association with Performance	Model *Predicted Negative* Hypothesized Association with Performance	Model *Predicted Other* Hypothesized Association with Performance	Percent of Predicted Correctly by Model
Variable *Actually* Has *Positive* Hypothesized Association with Performance	184	6	0	96.80%
Variable *Actually* Has *Negative* Hypothesized Association with Performance	9	53	0	85.50%
Variable *Actually* Has *Other* Hypothesized Association with Performance	16	3	0	0.00%

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Figure 1 – Mean Variable Positivity and Negativity for Each Hypothesized Association with Performance
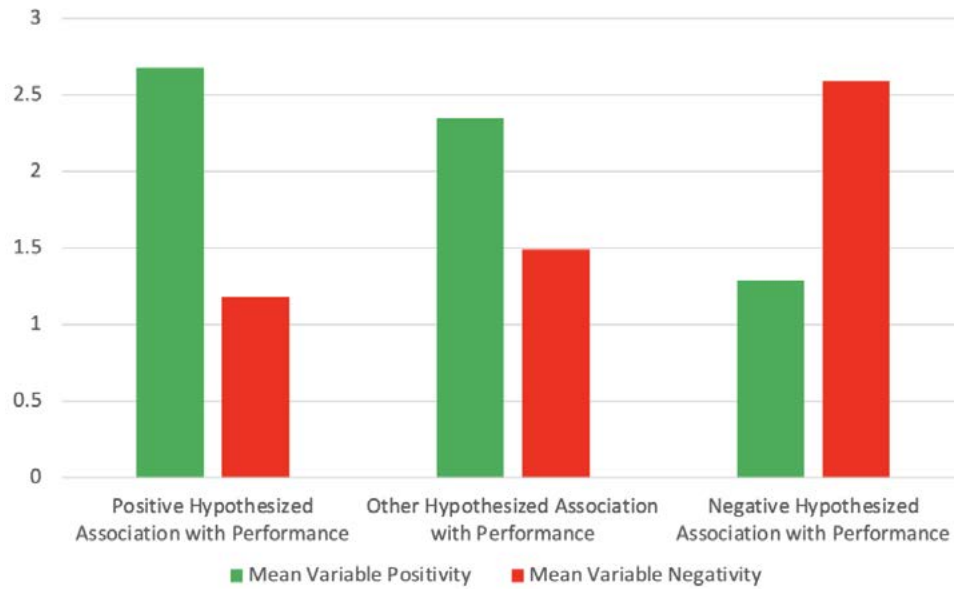
7. Teaching and Learning

An Autoethnography of an Award-Winning Teaching Application

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An Autoethnography of an Award-Winning Teaching Application

ABSTRACT: This paper uses an autoethnographic approach to describe the reflections of the lead author's teaching practice and pedagogical philosophy that led to a successful application for the Australian Awards for University Teaching (AAUT) Citation Award. A pedagogical philosophy centred around Service-Dominant Logic Theory is applied to introduce a model of value co-creation in student-faculty interactions to facilitate interest, resonance, and metacognitive self-reflection in the context of blended learning. The process driven approach highlights the efficacy of storey telling, peer instruction, and work integrated learning in achieving learning outcomes. The theoretical perspectives in this paper provide insights into further scholarship and it's autoethnographic approach is useful for teaching faculty considering an application for a teaching award.

Keywords: autoethnography, teaching award application, service-dominant logic, value co-creation.

INTRODUCTION

My fascination with technology enabled learning began in 2005 when I was tasked with developing Curtin Business School's first fully online course in marketing. It was the first of its kind at that time that utilized a variety of interactive Web 2.0 tools which I documented in Wong, Yap and Loh (2009). I had also published other articles about these initial experiences, our successes, failures, and what the future held for technology enabled learning (e.g., Wong, Turner, Yap & Rexha, 2009; Loh, Kingshott & Wong, 2010; Loh, Kingshott & Wong, 2012). In the following years, as Director of Learning and Teaching at Curtin Business School, I won $98,264 in grants to progress benchmarking studies on the pedagogical use of various online technologies, delivered a keynote address at Nanyang Technological University's eLearning Forum Asia 2012, was guest editor for the Asia Pacific Journal of Marketing and Logistics (an ABDC 'A' ranked journal) special issue on higher education, and undertook further scholarship and research that are documented in other international publications – such as, on managing student engagement and social needs (Loh, Wong & Kingshott, 2012), creating value in e-learning (Wong, Kingshott & Loh, 2012), co-creation of knowledge and value in blended courses (Wong, 2012), the role of branding and positioning (Wong, Goi & Goi, 2014), and the enduring need for students to interact at various levels with both their instructors and their peers (Wong, 2012; Loh, Wong, Kingshott & Quazi, 2016).

I have seen many changes over the past decade with significant advances in technology used to deliver and manage learning content - including highly interactive platforms such as Zoom, Collaborate, Wiki's, and various social media. The challenge today is no longer with the availability of these learning technologies, its equitable access, or even its interactivity to engage learners. These technologies are now ubiquitous and highly interactive. Learners today use similar technology to engage with and learn from a much wider body of sources *in addition* to what they learn from our institutions (Loh et. al., 2016). The multi-facetted social voices that learners engage with on a daily basis include the omnipresent social media news feeds, daily news programs on television and YouTube, personal learning experiences (e.g., TEDx, LinkedIn Learning), workplace conversations, *as well as* the content through the mediums (lectures, tutorial discussions, LMS content) we provide. My approach is thus to help learners make sense of these social voices they encounter through daily life by providing theoretical and practical frameworks and discipline knowledge in a pedagogically sound suite of techniques to enable students to make connections between the academic and reality, to pass from thought to action, and from the passive to the active (Loh et. al., 2016).

This approach starts with the strategic selection of an effective base of learning technologies to deliver the necessary learning content and frameworks in a course. Further techniques are then employed building on the technological base to empower learners to interact with the learning content in a way that resonates with what they see, hear, and experience in other social voices. This approach is consistent with deep learning as identified by Biggs (1987), and Entwistle and McCune (2004); and with the service-dominant logic (S-D Logic) of co-creation of learning (Wong, 2012). Based on the deep approach to learning, our constructivist model of co-creation facilitates learners to test the material against their own everyday experiences and the knowledge gained from other non-academic sources (resonance) – thus actively involving the student as co-producers of their own learning outcomes (Wong, 2012). Two highly authentic pillars in our approach (storytelling and work integrated learning) facilitates such co-creation to occur by creating interest and engaging the social voices learners experience, so as to demonstrate the application of the learning content beyond

the classroom (Loh et. al., 2016; Quintal & Wong, 2012). The third pillar in our approach (peer teaching) then compel students to synthesize ideas and findings from multiple sources and become strongly invested in their own learning through metacognitive self-reflection. These three pillars thus combine to enable the penultimate achievement of psychosocial outcomes for the student that influence achievement goal adoption, which in turn, influence intrinsic motivation and graded performance (Church, Elliot & Gable, 2001; Wong, 2012). Figure 1 provides a diagrammatic summary of this approach.

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THE SERVICE-DOMINANT LOGIC (S-D LOGIC) APPROACH

Technology Base

I applied the principles of the S-D Logic approach in my design of Notre Dame Business School's first flipped classroom model for the Business IT course in 2016. My objective in the selection of technology was to create "experience structures", which I define as the "characteristics of the service space within which interactions and value-creating activities are performed" (Wong, 2012, p.333). In line with our findings for self-paced e-learning that younger students were more prone to feelings of boredom and loss of motivation (Loh et. al., 2016), I started by dividing the 12 weekly lectures into 30 bite-sized mini-lectures each designed around a narrow theme that addressed one to two learning outcomes and developed lecture transcripts intended for a 15-minute read for each mini-lecture. Sets of three mini-lectures are supported by interactive activities during the weekly face-to-face classes, with online mini quizzes as formative assessments to provide 'speed bumps' that cultivate a sense of achievement and encourage goal adoption for a desired grade. In accordance with the principles of social constructivism, learning activities were facilitated through project wikis on Blackboard that were scaffolded into different wiki pages according to each learning outcome. This structure

provided opportunities for co-creation to be realised as students are encouraged to be active participants in the learning process rather than be passive recipients (Wong, 2012). Examples of early feedback from students included: *"The online lectures and (mini) tests at the end really helped me to know what I'm meant to be learning."*, and *"I found the setup of this unit to be incredibly beneficial… (I) struggle to sit through a 2-hour lecture… the interactive lab was perfect!"* (Student evaluation comments, Semester 1 2017). My student evaluation scores for this course started from 4.43 (2016) in the first year the flipped model was introduced, to 4.68 (2017) and 4.70 (2018) in the three years I coordinated the course. I analysed the individual item scores from these evaluations and found that the student ratings particularly highlight the course's engaging and relevant content delivered through this technology base (see Table 1).

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From 2017 I progressively introduced similar technology bases to the experience structures of other courses within the business program. In line with dimensions ES6 (inclusiveness) and ES5 (cohesiveness) of 'experience structures' identified in Wong (2012), I began cultivating an inclusive classroom environment by eliciting questions and feedback from students anonymously via the Sli.do app, and created highly engaging in-class revision sessions using the Kahoot game-show-like platform that fostered greater shared values and openness through exciting student-student interactions. These technologies also enabled me to gain further useful evidence to adaptively make modifications to teaching style or content on the fly. They helped answer questions such as: "Is the content being presented meaningfully relevant?", "Do examples given resonate with the audience thus enabling deep learning?" Kahoot learning analytics (see Figure 2) illustrate how such self-evaluation and modifications to my teaching impact on learner confidence (faster response times) and knowledge (higher rate of correct responses) between mid and end of semester revision periods.

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Insert Figure 2 about here
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The Three Pillars

As illustrated, my selection of technology base is centred on the S-D Logic view that "the role of the HEI is to provide a set of operant resources [technology base and learning content], and students co-create value for themselves depending on how they interact with these resources" (Wong, 2012, p.331). It is process-based and process-driven rather than tech-centred (Wong, Kingshott & Loh, 2012). My focus therefore was to build on the experience structures I had formulated through the selected technology base to empower students to interact with it in a manner that enable co-creation of learning. First, my use of a storytelling approach entices interest in the learning content; second, empowering students to be co-teachers in peer instruction encourage the formation of metacognitive self-reflection and the heutagogical perspective of self-determined lifelong learning (Wong, 2012; Quintal & Wong, 2012); and third, work integrated learning that resonate with social voices to release the learning content from the confines of the classroom (Loh et. al., 2016). I will now describe some examples of practice using these pillars in my teaching in recent years.

Storytelling: In line with experience structure 'ES8' that teachings need to be personally relevant (Wong, 2012), storytelling provides context to illustrate key concepts that appeal both intellectually and emotionally to the learner - making what is taught more meaningful and memorable. It encourages constructivist learning because the experience of the instructor is transferred to the learner. Stories such as how when my son was younger only ate chicken nuggets (illustrating decision-making heuristics) to the events leading to an old classmate taking me on his corporate helicopter in Indonesia (illustrating political risk in international business) are some examples I have told through the years. Many stories are from my life experiences, but I have also re-told stories from secondary sources – the legend of Hachikō, the dog who waited for nine years at the train station for his deceased owner to return, and how the story provided insights into Japanese culture for international business. Stories such as these create interest and heightens engagement when illustrating how discipline knowledge is linked with its application. These student comments

illustrate: *"Engaging lecturer, provides very interesting anecdotes from his life to illustrate how marketing concepts impacts the everyday person"* (Student evaluation comment, Semester 2 2019); *"Overall David made lectures highly engaging which made learning the relevant material much easier, through his use of and explanation of up to date real world examples"*; and *"I valued the illustrations… they helped make the info stick better in my mind"* (Student evaluation comments, Semester 1 2019).

Peer Instruction: The Latin proverb, *Docendo discimus* ("by teaching, we learn"), is an adage that has been well documented in familial settings where older siblings teach the little ones (e.g., Klein, 2003). The older sibling invariably becomes the expert in what he or she imparts to the younger sibling and this has been hypothesized as a contributing factor to what is colloquially known as the "first born advantage" (Kristensen & Bjerkedal, 2007). I incorporated peer instruction into two third-year courses for our B.Com program in a Discussion Leadership assessment worth 20%, where student groups are assigned weekly sessions to complete two tasks: (1) deliver a presentation synthesising theoretical content from my lecture with their own examples, and (2) lead discussion on their own extended content with their peers. Each group of teaching-peers have 45 minutes to run the class. While several studies have shown peer instruction in higher education to have positive influences on learning (e.g., Balta, Michinov, Balyimez & Ayaz, 2017); I have found the dimension of 'trust' (experience structure 'ES7') to be critical in experience structures where "students are confident about the efficacy of and are able to rely on fellow student generated content for their learning" (Wong, 2012, p.334). Two important principles thus ensured my success in using peer instruction as a pillar in my approach – first, that the teaching-peers convey an efficacious synthesis, and second, that the receiving-peers perceive that synthesis to be credible, thus closing the learning loop for both sets of peers. In this, by giving clear learning goals to the teaching-peers, and the opportunity for the receiving-peers to engage in posteriori debate, I generate trust in student generated content through authentication with prior learning of theoretical frameworks. Peer instruction thus adds support to the first pillar of storytelling in my approach by encouraging higher

order thinking skills (Bloom's Taxonomy) to synthesise concepts from the learning content and to create new ways of applying those concepts themselves. This develops greater metacognition by engaging students in self-reflection on their personal strengths and weaknesses, and thus support lifelong learning graduate capabilities (Loh, et. al., 2016). Feedback from my students include: *"The presentations was tough but it forced me to go through the lecture (material) and understand it better."* (Student evaluation comment, Semester 1 2019).

Work Integrated Learning: As part of my redesign of the assessments for second- and third-year courses in 2018, I introduced industry-linkage projects as the third pillar aimed at producing industry ready graduates. An example for the research methods course is an industry-linkage project with Fremantle Ports (FP) that ran in semester 1, 2019. This course-wide initiative involved coaching students through a series of interactions with senior management from FP to undertake an environmental impact study. These interactions involved: defining the business problem, negotiating scope of works, conducting stakeholder interviews, collecting and analysing data using qualitative and quantitative research techniques, and finally presenting recommendations to the FP board. The project exposed students to a real problem that resonated with the media attention on environmental impact at that time and was highly praised by the FP board, directly leading to the signing of a Notre Dame-FP MOU in 2019 for further collaboration with the University, including: a three-year sponsorship agreement of the FP Prize for highest achieving student in the course worth $1,000 each semester, internship placements for undergraduate business students open to all discipline areas within the business school, and the acquisition of HDR students from Port employees. Such industry linkages create fully authentic settings for co-creation of learning by extending the application of concepts learnt in the final semesters of a program beyond the classroom to expose learners to the nuances of the workplace and provide assurances to the learner by having the knowledge and skills gained reaffirmed by industry (Wong, et. al., 2011; Wong, 2012). Student feedback relating to these work integrated learning projects include: *"David has made this unit both very enjoyable and educational, while still preparing us for real life situations. His teaching method is exceptional.*

Enjoyed this unit a lot, best lecturer I have had so far!" (Student evaluation comment, Semester 1 2019).

CONCLUSION

The multi-facetted social voices learners increasingly engage with in their daily lives present unique pedagogical challenges. It has never been more important to engage students to actively participate as co-producers of their own learning outcomes. The approach presented in this paper presents a pedagogically sound suite of techniques that combine to create powerful co-creation opportunities that inspire students, compelling them to pass from thought to action, and from the passive to the active.

The theoretical perspective of the S-D Logic approach provides insights into further scholarship and the autoethnographic style of this paper is useful for both encouraging shared experiences among teaching faculty and for those who may consider applying for a teaching award.

Acknowledgement

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7. Teaching and Learning

Figure 1: The S-D Logic Approach for Co-creation of Learning in Achieving Learning Outcomes (Wong, 2012)
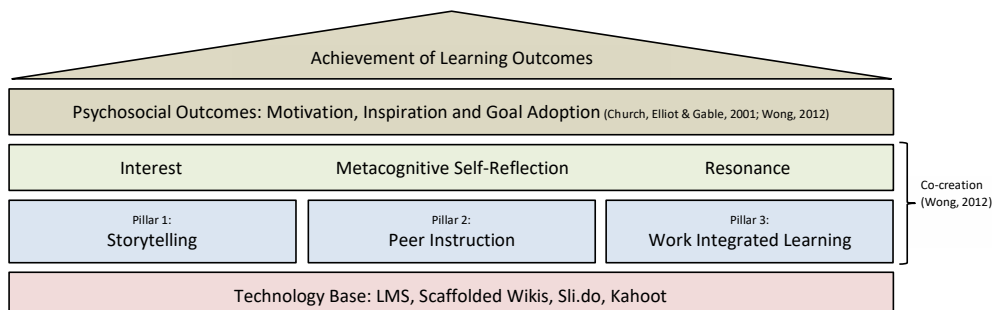
Achievement of Learning Outcomes

Psychosocial Outcomes: Motivation, Inspiration and Goal Adoption (Church, Elliot & Gable, 2001; Wong, 2012)

Interest — Metacognitive Self-Reflection — Resonance

| Pillar 1: Storytelling | Pillar 2: Peer Instruction | Pillar 3: Work Integrated Learning |

Co-creation (Wong, 2012)

Technology Base: LMS, Scaffolded Wikis, Sli.do, Kahoot

Figure 2: Kahoot Learning Analytics Response Profiles (Principles of Marketing, Data from Semester 2, 2019)

Correct Answers
Mid Semester Revision Response times for correct response
Incorrect Answers

Correct Answers
End of Semester Revision Response times for correct response
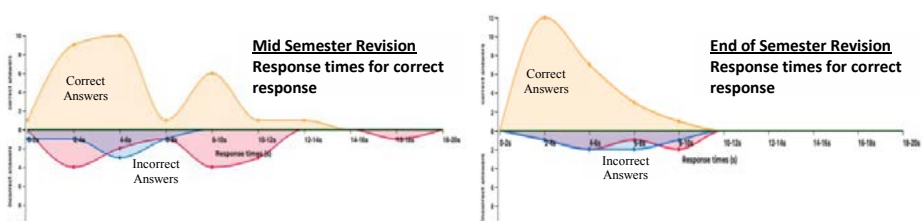Incorrect Answers

Table 1: Student Evaluation Data 2016-2019 (Scores are out of 5)

Year/ Semester	Course	Response Rate (%)	N	Overall UMR	Item 1 Outcomes Clear	Item 2 Expectations Clear	Item 3 Well Prepared	Item 4 Interesting Challenging	Item 5 Effective Classtime	Item 6 Focused Discussion	Item 7 Relevant Content	Item 8 Examples to Illustrate	Item 9 Meaningful Activities	Item 10 Inspirational	Item 11 Active Participation	Item 12 Available for Discussion	Item 13 Approachable and Helpful	Item 14 Sensitivity in Interactions	Item 15 Marking	Item 16 Constructive Feedback
2016/1	BUSN1060	24.36	19	4.43	4.37	4.47	4.47	4.47	4.53	4.32	4.53	4.53	4.37	4.26	4.42	4.32	4.58	4.58	4.47	4.26
2016/2	BUSN1030	48.98	24	4.40	4.58	4.58	4.46	4.08	4.29	4.42	4.5	4.38	4.29	4.04	4.25	4.5	4.67	4.67	4.29	4.38
2016/2	BUSN1060	38.89	28	4.40	4.61	4.5	4.69	4.21	4.46	4.29	4.5	4.43	4.29	4.11	4.38	4.52	4.48	4.52	4.44	4.04
2017/1	BUSN1030	60.58	83	4.67	4.67	4.73	4.84	4.55	4.65	4.65	4.67	4.73	4.58	4.57	4.64	4.69	4.77	4.77	4.65	4.53
2017/1	BUSN1060	81.08	60	4.68	4.68	4.72	4.78	4.58	4.62	4.62	4.7	4.72	4.63	4.53	4.7	4.64	4.8	4.78	4.8	4.64
2017/2	BUSN1030	90.91	20	4.94	4.95	4.95	4.95	5	5	4.95	4.9	4.9	4.85	4.95	4.95	4.9	4.95	5		
2017/2	BUSN1060	76.92	30	4.71	4.81	4.73	4.77	4.67	4.7	4.67	4.67	4.71	4.73	4.57	4.6	4.83	4.83	4.77	4.83	4.48
2018/1	BUSN1030	85.00	51	4.74	4.76	4.72	4.94	4.8	4.76	4.78	4.8	4.82	4.68	4.65	4.69	4.63	4.86	4.88	4.53	4.55
2018/1	BUSN1060	75.00	42	4.70	4.74	4.76	4.88	4.48	4.74	4.74	4.69	4.71	4.76	4.5	4.71	4.74	4.86	4.93	4.62	4.36
2018/2	BUSN1030	61.54	24	4.75	4.63	4.58	4.92	4.71	4.83	4.83	4.71	4.83	4.71	4.63	4.79	4.71	4.88	4.96	4.71	4.58
2018/2	BUSN1060	50.00	17	4.65	4.71	4.82	4.71	4.59	4.65	4.65	4.53	4.59	4.59	4.41	4.65	4.75	4.69	4.82	4.81	4.4
2018/2	BUSN1220	48.27	62	4.73	4.82	4.68	4.94	4.77	4.81	4.69	4.84	4.79	4.61	4.65	4.59	4.66	4.82	4.77	4.75	4.47
2019/1	BUSN1220	39.53	34	4.74	4.82	4.76	4.94	4.94	4.68	4.68	4.79	4.82	4.59	4.74	4.59	4.53	4.71	4.79	4.71	4.7
2019/1	BUSN2510	57.78	26	4.66	4.62	4.65	4.73	4.65	4.69	4.69	4.73	4.65	4.65	4.42	4.65	4.65	4.81	4.69	4.65	4.58
2019/1	BUSN3500	92.86	26	4.81	4.81	4.85	4.85	4.88	4.81	4.81	4.85	6.77	4.71	4.69	4.73	4.77	4.92	4.81	4.85	4.81
2019/2	BUSN1030	51.43	18	4.77	4.67	4.72	4.89	4.89	4.78	4.72	4.78	4.78	4.67	4.72	4.89	4.83	4.78	4.78	4.67	4.78
2019/2	BUSN1220	41.67	38	4.62	4.68	4.55	4.85	4.68	4.72	4.76	6.79	4.5	4.55	4.47	4.47	4.49	4.61	4.74	4.51	4.24
2019/2	BUSN3540	85.71	24	4.69	4.67	4.67	4.67	4.71	4.63	4.63	4.75	4.71	4.67	4.35	4.47	4.71	4.79	4.54	4.78	4.67

Legend:
TPE items that are dominated by blue shaded areas indicate areas of pedagogical expertise and strength.
Areas of exemplary excellence achieved (evaluation score greater than 4.6).
Areas of excellence achieved (evaluation score 4.2 to 4.6).
Areas of maintenance and scope for improvement (evaluation score 4.0 to 4.2).

The joint impact of HRM attributions and HRM system consistency

on employee well-being: A two-wave study

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Abstract:

Despite the increasing interest in employees' perceptions of human resource management (HRM), two distinct but inter-related facets of perceived HRM, namely HRM attributions and HRM system strength, have so far been explored in a parallel fashion. This study extends extant literature by establishing an integrative framework connecting different forms of HRM attributions and a specific single meta-feature of HRM system strength (consistency) to employee well-being. Drawing on the Job demand-resource model and using a two-wave data set collected in China, we differentiated internal from external HRM attributions based on their different impacts on employee well-being through thriving at work.

Key words: *China, employee well-being, HRM attributions, HRM system consistency, perceived HRM, thriving at work*

1. INTRODUCTION

Recent interest in perceived human resource management (HRM) has cast light on two main streams of research, namely HRM attributions (Nishii, Lepak, & Schneider, 2008) and HRM system strength (Bowen & Ostroff, 2004), to elucidate the relationship between perceived HRM and employee well-being (e.g., Alfes, Shantz, & Truss, 2012; Frenkel, Li, & Restubog, 2012).

Nishii et al.'s (2008) seminal work laid the foundation of HRM attributions research by differentiating internal from external HRM attributions. Internal HRM attributions (e.g. well-being attributions and exploiting attributions) are defined as employees' perceptions that HR practices are adopted as a function of management's voluntary intentions. In contrast, external HRM attributions (e.g. union compliance attributions) refer to employees' interpretations that HR practices are implemented in order to conform to the external pressures, which are beyond managerial control. Despite Nishii et al.'s (2008) call for identifying external attributions beyond union compliance, subsequent research focused mainly on internal HRM attributions rather than external attributions (Hewett, Shantz, Mundy, & Alfes, 2018).

In addition to HRM attributions, another stream of perceived HRM research, HRM system strength, also pays close attention to employee well-being. HRM system strength theory suggests that meta-features of HRM systems (distinctiveness, consistency and consensus) can enable employees to develop shared perceptions of the signals delivered by the HRM system, eliciting a strong climate (Bowen & Ostroff, 2004). Most prior work considered HRM system strength as an overall construct. However, a specific single meta-feature of HRM system remains less explored. This is problematic as differential meta-features will not be equally effective to form a strong climate (Ostroff & Bowen, 2016). HRM system consistency represents an important meta-feature: a strong organizational climate context will emerge when employees perceive the existence of consistent messages delivered by the HRM system (Bowen & Ostroff, 2004). In a consistent HRM system climate, employees tend to be more motivated at work (Li, Sander, & Frenkel, 2012).

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Conversely, inconsistent HRM system represents a weak situation where employees may suffer from intense job-related stress because of cognitive confusion (Bowen & Ostroff, 2004).

Responding to Hewett et al.'s (2018) call for combining these two distinct but inter-related perceived HRM theories, this study establishes an integrative framework which connects diverse forms of HRM attributions (both internal and external attributions) and a specific single meta-feature of HRM system strength (consistency) to employee well-being. First, drawing on the Job demands-resources (JDR) model (Demerouti, Bakker, Nachreiner, & Schaufeli, 2001), we identify how distinct types of HRM attributions relate to employee well-being. Second, we propose that HRM attributions determine employee well-being because they activate the motivational process. Thriving at work is defined as a positive motivational state which evaluates individuals' joint sense of vitality and learning (Porath, Spreitzer, Gibson, & Garnett, 2012). By evaluating whether thriving at work acts as a motivational pathway, we seek to identify the underlying mechanisms through which HRM attributions influence well-being. Third, we focus on an individual meta-feature (HRM system consistency), rather than the overall HRM system strength, as a potential boundary condition for the relationship between HRM attributions and employee outcomes. In effect, a consistent HRM system context can predict employees' vigor, dedication and absorption by offering unambiguous, valid and stable HR messages (Li et al., 2012). By assessing whether HRM system consistency operates as an important contingency affecting the impact of HRM attributions, we shed light on the context-driven nature of HRM perceptions (Wang, Kim, Rafferty, & Sanders, 2020). A moderated mediated model is established, as outlined in Figure 1.

Insert Figure 1 about here

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2. THEORETICAL FRAMEWORK AND HYPOTHESES

2.1 HRM attributions and employee well-being

HRM well-being attribution is an internal attribution, which means that employees perceive that HR practices exist to improve employees' welfare, facilitate work skills, and offer abundant resources (Nishii et al., 2008). In fact, the provision of job resources delivers a message to employees that they are valuable to the organizations and that they deserve organizations to appreciate and recognize their well-being status (Shantz, Arevshatian, Alfes, & Bailey, 2016). The JDR model suggests that multitudes of job resources (e.g., job security, supervisory support, and performance feedback) are functional in enhancing employee well-being because they (a) assist employees to accomplish job goals and fulfill personal needs; (b) reduce job obstacles and their negative physiological and psychological impacts; (c) promote individual development (Demerouti et al., 2001). In line with the theoretical reasoning, prior research showed that HRM well-being attributions are likely to improve happiness well-being, such as job satisfaction and organizational commitment (Nishii et al., 2008), attenuate health impairment costs, like job strain (Van De Voorde & Beijer, 2015), and reduce employees' turnover intentions (Lee, Kim, Gong, Zheng, & Liu, 2020). Therefore, we propose that: **Hypothesis 1a**: *HRM well-being attributions will be positively related to employee well-being.*

HRM exploiting attribution is defined as an internal attribution that HR practices are designed to take as much as possible of employees, and managers are not concerned about employees' development and welfare (Nishii et al., 2008). In other words, more is demanded of employees without abundant job resources and organizational support (Chen & Wang, 2014). Examples of demands include work overload, job pressure, and role conflict (Schaufeli & Taris, 2014). When employees perceive that the level of employment exploiting is high and job demands are extensive, they need to exert sustained physical or psychological effort to cope with work overload and attain job goals (Van den Broeck, Vansteenkiste, De Witte, & Lens, 2008). As a result, employees are inclined to suffer from physical and mental health impairment outcomes, including fatigue, anxiety and burnout (Kilroy, Flood, Bosak, & Chênevert, 2016).

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Previous research reported that HRM exploiting attributions are negatively associated with employee satisfaction and commitment (Nishii et al., 2008), and perceived organizational support (Chen & Wang, 2014), all of which represent key components of employee well-being. Therefore, we propose that:

Hypothesis 1b*: HRM exploiting attributions will be negatively related to employee well-being*.

Nishii et al. (2008) emphasize the role of external HRM attributions in accounting for employee outcomes. In their study, the external attribution is the perception that HR practices are designed to comply with the union requirements. They presumed that external union compliance attributions are not significantly associated with employee outcomes because both positive and negative outcomes are coexisting and they cancel each other out. Nishii et al.'s (2008) proposition is primarily based on the western context and subsequent studies have left out the importance of external attributions across contexts. We maintain that the insufficient attention to external HRM attributions is problematic because external attributions could be more influential in collectivistic cultures than in individualistic cultures (Fletcher & Ward, 1988). As such, comparative studies of external HRM attributions may be important.

In order to differentiate internal from external HRM attributions in collectivistic cultures, this study investigates Labor Law as external HRM attributions in the Chinese context. Labor Law external attributions refer to the degree to which employees understand that HR practices are adopted to conform to the Chinese Labor Law. In 2008, the Chinese government launched a series of Labor legislation, including the Labor Contract Law, the Employment Promotion Law, and the Labor Dispute Mediation and Arbitration Law, all of which aim to circumvent employment exploitation and protect the labor rights of employees (Cooke, 2011). However, it has been argued that, the enforcement of the Labor Law and state supervision are weak and ineffective: a large number of employees, especially those working in small- and medium-sized companies, may still be subject to long working hours, poor health precautions, and depleted social insurances (Friedman & Lee, 2010). Taken together, we posit that:

Hypothesis 1c*: Labor Law external attributions will be positively related to employee well-being.*

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2.2 Thriving at work and its mediating role

Responding to Boxall, Guthrie and Paauwe's (2016) suggestion that employee-related mediation variables should be put an emphasis when focus is on well-being in HRM, this research is concerned with the mediating influence of thriving at work to reflect employees' eudaimonic and hedonic components of well-being (Spreitzer, Sutcliffe, Dutton, Sonenshein, & Grant, 2005). Individuals with a high level of thriving at work possess a positive job-related state of mind characterized by two facets: (a) *vitality* and (b) *learning* (Porath et al., 2012). First, individuals with an experience of *vitality* and flourishing are inclined to become more psychologically healthy, and less likely to experience depression and stress (Jo et al., 2020). Indeed, positive affective dimensions of thriving (e.g., vitality) can provide employees with an important psychological capacity (e.g., resilience) for addressing work intensification, job demands and stressful environments (Jiang, Jiang, & Nielsen, 2020; Poarth et al., 2012). Second, employees with a sustained sense of *learning* are less likely to suffer from physical and mental health problems (Poarth et al., 2012), and have a high level of job satisfaction (Jiang, Di Milia, Jiang, & Jiang, 2020). This is because employees engaged in learning activities are able to absorb and harness new knowledge, skills, and competence to fulfill their work requirements and meet job demands (Guan & Frenkel, 2019).

According to the JDR model, employees will be more engaged in the workplace and feel more physically and mentally healthy when they perceive that there are abundant resources and low demands (Bakker & Demerouti, 2007). That is, the associations between HRM attributions and well-being may be indirect since they spark the *extrinsic* and *intrinsic* motivational processes. Employees' vigor, dedication, and thriving can be activated through the motivational processes, which will in turn exert impacts on employee well-being (Schaufeli & Bakker, 2004). Therefore, we hypothesize that:

Hypothesis 2: *Thriving at work mediates the relationship between (a) HRM well-being attributions, (b) HRM exploiting attributions, (c) Labor Law attributions, and employee well-being.*

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2.3 The moderating role of HRM system consistency

Thus far, research on the boundary conditions of HRM attributions in affecting employee outcomes remains relatively scarce. This is a significant research gap in that employees' HRM attributions are not only based on the internal features of the stimulus per se (e.g., HR practices) but also the external context of the stimulus (Kelley, 1973). In order to fill the gap, this study explores the organizational climate conditions under which the impacts of HRM attributions are maximized.

As an important meta-feature of HRM system strength, HRM system consistency is defined as an unambiguous, valid, and stable organizational climate where HRM systems are able to consistently communicate to employees the organization's values, purposes, and practices (Ostroff & Bowen, 2016). In fact, three sub-features of HRM system consistency (e.g., instrumentality, validity, and consistent HRM messages) help employees develop a consistent understanding of cause-effect relationship with regard to the HRM system and it associated employee outcomes. On the contrary, employees are likely to make ambiguous or contradictory perceptions of HRM systems in an inconsistent climate (Bowen & Ostroff, 2004). Previous empirical research has documented that HRM system consistency acts as a moderating variable of the relationship between leader-member exchange and employee outcomes because a consistent HRM system is likely to help employees better comprehend managerial practices over time and across different contexts (Li et al., 2012). In addition, according to organizational climate theory, climate strength normally amplifies the influences of organizational practices on employee outcomes (Schneider, Salvaggio, & Subirats, 2002). Building on the empirical research and theoretical underpinning, we expect that HRM system consistency moderates the effects of HRM attributions on employees' thriving at work such that the relationships will be stronger when HRM system consistency is high. Therefore, employees are 'more confident about attributing this as having benign influences on their work experience' (Li et al., 2011, pp.1828). Furthermore, a second dimension for HRM system consistency is the internal alignment among HR practices (Bowen & Ostroff, 2004). In an organization where HR practices complement each other and

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team up to achieve superior organizational performance, employees will make attributions of the HR practices as a whole. Taken together, we present the following hypotheses:

Hypothesis 3: HRM system consistency will moderate the relationship between (a) HRM well-being attributions, (b) HRM exploiting attribution, (c) Labor Law attributions, and thriving at work such that the relationship is stronger when HRM system consistency is higher.

3. METHODS

Data in this research were collected from eight firms located in three cities (Beijing, Daqing and Suzhou) in China during 2019-2020. Paper-based questionnaires were distributed in the six firms located in Suzhou. In the two firms based in Daqing and Beijing, managers used Wechat to forward web-based surveys to participants. In order to ensure that our results are reliable, managers were explained the purpose of this academic research and were asked to encourage participants to provide their responses to reflect their views accurately. Furthermore, participants were assured that the questionnaires were anonymous, and that their answers would be kept confidential and would only be used for research purpose. To incentivize participation in the survey and provide truthful answers, participants were offered the opportunity to win a small gift after they completed the questionnaire. At Time 1, the questionnaire asked the participants to offer their demographic details (e.g., age, gender, educational background, and tenure) and report HRM attributions, HRM system consistency, and thriving at work. In firms in Suzhou, 251 participants completed the paper-based questionnaires. In firms in Beijing and Daqing, web-based questionnaires were received from 173 respondents. A total of 424 questionnaires were received for Time 1. One month later (Time 2), managers invited the same participants to complete either the paper-based or the web-based questionnaire which assessed employee well-being. Managers helped us carefully match participants' second-wave answers with their first-wave responses. After excluding responses with missing information on focal variables in this study, we received 279 paired and valid responses, which represents a final response rate

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of 66%. Of the 279 respondents, male accounted for 61.8 percent; just over half (53.1 percent) were aged between 25 and 35. In terms of the education level, 39.5 percent had bachelor's degree (SD = 1.02, median = 4). 77 respondents (33.8 percent) had worked in the organization below three years.

4. RESULTS

Insert Table 1 about here

Since all the variables used in the current research were reported by the same group of subjects, we need to assess the potential risk of common method bias (CMB) (Podsakoff, McKenzie, Lee, & Podsakoff, 2003). Following Podsakoff et al.'s (2003) procedures, we added an unmeasured latent method factor to our proposed measurement model to examine whether it significantly improved the fit statistics. The results indicated that the chi-square difference test between our original measurement model and the latent method factor model was significant ($\Delta\chi2(df) = 110(22)$, $p < 0.05$). However, it is argued that chi-square values are sensitive to large number of sample sizes and variables (Hair et al., 2005). We, thus, used the difference of CFI values as suggested by Byrne (2001) to evaluate the overall model fit improvement. The change of CFI values between our original measurement model and the latent method factor model was 0.021, which is below the threshold of 0.05 (Alfes et al., 2013). The result revealed that the introduction of a latent method factor did not significantly improve our model fit. Therefore, the potential CMB may not be a serious concern.

5. DISCUSSION

First, this study advances our understanding of the differential influences of internal and external HRM attributions on employee well-being, particularly the latter that remains under-investigated. Identifying

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employees' external HRM attributions is important given the context-specific nature of perceived HRM (Wang et al., 2020). In line with prior research, our results revealed that internal well-being attributions make a positive effect on employee well-being, while there is a negative relationship between internal exploiting attributions and well-being. Contrary to previous work suggesting that external HRM attributions did not exert a significant influence on employee outcomes (Nishii et al., 2008), our study found that Labor Law attributions show a significantly positive relationship with employee well-being. The differential findings have theoretical implications for contextualizing HRM attributions. Indeed, most prior studies are rooted in the individualistic context where employees pay more attention to individuals' capabilities and competency, and hence are more cognitively inclined to develop internal HRM attributions rather than external attributions. External attributions, however, may be more salient in the collectivistic context where situational pressures are more paramount, and therefore employees are more predisposed to respond to environmental information (Fletcher & Ward, 1988). In other words, the impacts of external attributions vary across cultures and countries.

Second, we adopted the motivational mechanisms of the JDR model in explaining the motivational processes through which HRM attributions influence employee well-being, namely through shaping employees' thriving at work. In doing so, we heed Boxall et al.'s (2016) suggestion that more attention should be paid to employee-related mediators when research on employee well-being in HRM. Thriving at work underscores an important form of employees' positive job-related motivation in the sense that it will stimulate their willingness to dedicate compensatory efforts to the job tasks (Schaufeli & Taris, 2014), which at the same time satisfy their innate need for autonomy, competence, and relatedness (Ryan & Deci, 2000), both of which relate to employee well-being. We found that the *motivational* mechanisms of the JDR model could have explanatory power only in the relationship between two specific forms of HRM attributions and well-being. Contrary to our prediction, thriving at work did not mediate the relationship between internal HRM well-being attributions and well-being. This is intuitively plausible that well-being attributions are

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temporally closer to, and have a stronger influence on, employee well-being than other HRM attributions. Therefore, future research should take caution in using the *motivational* process of the JDR model as a core theoretical framework and should investigate how employee-related mediators vary across different forms of HRM attributions.

Third, we establish a framework combining two distinct streams of perceived HRM research in order to examine the organizational climate conditions (HRM system consistency) under which the effect of HRM attributions on thriving at work are maximized. Indeed, employees' HRM attributions are not only based on the internal features of the stimulus per se (e.g., HR practices) but also the external context of the stimulus (Hewett et al., 2018). We found that HRM system consistency moderated the relationship between internal HRM attributions and thriving at work. Contrary to our expectation, the interaction of external HRM attributions (Labor Law attributions) and HRM system consistency does not make a significant impact on thriving at work. Although previous literature proposed that two different streams of perceived HRM could become complementary and team up to exert impacts upon employees' attitudinal and behavioral outcomes (Hewett et al., 2018), our results indicate that the organizational climate context and external HRM attributions might work in silos to influence thriving at work. These results suggest that theory and research on organizational context should consider the different forms of HRM attributions and their divergent relationships with employee outcomes.

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Table 1. Comparison of measurement models: Fit indices

Models	χ^2 (df)	χ^2 /df	IFI	TLI	CFI	RMSEA
Hypothesized six-factor model	443.44 (194)	2.286	0.943	0.931	0.942	0.068
Five-factor model A	840.01(199)	4.221	0.853	0.828	0.852	0.108
Five-factor model B	937.12(199)	4.709	0.831	0.802	0.830	0.116
Five-factor model C	844.43(199)	4.243	0.852	0.827	0.851	0.108
Four-factor model	1420.18(203)	6.996	0.721	0.680	0.719	0.147
Three-factor model	1753.42 (206)	8.512	0.645	0.599	0.643	0.164
Two-factor model	2113.18 (208)	10.160	0.562	0.511	0.560	0.182
One-factor model	2444.71 (209)	11.697	0.486	0.429	0.484	0.196

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TABLE 2 Descriptive statistics, reliability, and correlations (N=279)

Variables	Means	SD	1	2	3	4	5	6	7	8	9	10
1. Age	2.30	.86	NA									
2. Gender	1.40	.49	-.05	NA								
3. Education	4.08	1.01	-.39**	-.06	NA							
4. Tenure	2.20	1.08	.56**	-.04	-.22**	NA						
5. Well-being attribution	3.69	.89	.00	-.00	-.04	.06	(.90)					
6. Exploiting attribution	1.87	.94	.07	.01	-.04	-.01	-.52**	(.94)				
7. Labor Law attribution	3.54	.89	.09	-.05	-.07	.13**	.39**	-.18**	(.90)			
8. Thriving at work	3.54	.53	-.06	-.05	-.05	-.15**	.49**	-.33**	.23**	(.73)		
9. HRM system consistency	3.41	.77	.03	-.04	-.10	.02	.52**	-.61**	.29**	.39**	(.91)	
10. Employee well-being	3.78	.69	.05	-.04	-.04	.03	.32**	-.32**	.20**	.25**	.31**	(.81)

Note: * p < .05, ** p < .01. age:1= below 25, 2= 25-35, 3= 36-45, 4= 46-55, 5= 56-60; gender: 1= male, 2= female; education: 1= primary school, 2= secondary school, 3= technical secondary school or high school, 4= three-year college, 5= bachelor, 6= master and above; tenure: 1= below three years, 2= three to five years, 3= five to ten years, 4= above ten years. Alpha-reliability coefficients are on the diagonal in parentheses.

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TABLE 3 Regression results for testing direct and indirect effects

Predictor	b	SE	t
Direct and total effects			
Well-being attribution → Thriving at work (a)	0.500**	0.030	9.705
Thriving at work → Employee well-being, controlling for well-being attribution (b)	0.121	0.088	1.803
Well-being attribution → Employee well-being (c)	0.322**	0.044	5.606
Well-being attribution → Employee well-being, controlling for Thriving at work (c')	0.261**	0.051	3.941
Bootstrapping results for indirect effects	Effect	Bootstrap SE	95% CI (LL UL)
Well-being attribution → Thriving at work → Employee well-being	0.0461	0.0314	(-0.0101, 0.1133)
Direct and total effects			
Exploiting attribution → Thriving at work (a)	-0.341**	0.031	-6.085
Thriving at work → Employee well-being, controlling for exploiting attribution (b)	0.161**	0.080	2.631
Exploiting attribution → Employee well-being (c)	-0.324**	0.042	-5.636

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Exploiting attribution → Employee well-being, controlling for Thriving at work (c')	-0.268**	0.044	-4.436
Bootstrapping results for indirect effects	Effect	Bootstrap SE	95% CI (LL UL)
Exploiting attribution → Thriving at work → Employee well-being	-0.0404	0.0206	(-0.0850, -0.0029)
Direct and total effects			
Labor Law attribution → Thriving at work (a)	0.249**	0.034	4.274
Thriving at work → Employee well-being, controlling for Labor Law attribution (b)	0.219**	0.080	3.596
Labor Law attribution → Employee well-being (c)	0.198**	0.046	3.315
Labor Law attribution → Employee well-being, controlling for Thriving at work (c')	0.144*	0.046	2.379
Bootstrapping results for indirect effects	Effect	Bootstrap SE	95% CI (LL UL)
Labor Law attribution → Thriving at work → Employee well-being	0.0418	0.0205	(0.0104, 0.0900)

Note: b = standardized coefficient; CI = Confidence level; LL = Lower limit; UL = Upper limit. *p < 0.05; **p < 0.01

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TABLE 4 Regression results for examining moderation of HRM system strength (PROCESS, Model 7)

Predictor	Coefficient	SE	t	p	LLCI	ULCI
Model A						
		Thriving at work			Bootstrapped 95%CI	
Well-being attribution (WA)	0.2593	0.0360	7.2077	<0.01**	0.1884	0.3301
HRM system consistency (HRMSC)	-0.1392	0.1345	-1.0353	0.0104*	0.0249	0.1857
WA ∗ HRMSC	0.0663	0.0327	2.0265	0.0437*	0.0019	0.1308
Age	0.0143	0.0397	0.3609	0.7184	-0.0639	0.0926
Gender	-0.0434	0.0545	-0.7969	0.4262	-0.1506	0.0638
Education	-0.0275	0.0286	-0.9612	0.3373	-0.0838	0.0288
Tenure	-0.1065	0.0298	-3.5762	<0.01**	-0.1651	-0.0479
Model B						
		Thriving at work			Bootstrapped 95%CI	
Exploiting attribution (EA)	-0.1887	0.0432	-4.3709	<0.01**	-0.2737	-0.1037
HRM system consistency (HRMSC)	0.1634	0.0459	3.5586	<0.01**	0.0730	0.2537
EA ∗ HRMSC	-0.1673	0.0373	-4.4855	<0.01**	-0.2407	-0.0939
Age	0.0306	0.0415	0.7371	0.4617	-0.0511	0.1123
Gender	-0.0399	0.0567	-0.7034	0.4824	-0.1514	0.0717
Education	-0.0140	0.0301	-0.4658	0.6418	-0.0733	0.0453
Tenure	-0.1079	0.0312	-3.4609	<0.01**	-0.1692	-0.0465

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Model C						
	Thriving at work				Bootstrapped 95%CI	
Labor Law attribution (LLA)	0.0867	0.0336	2.5784	0.0105*	0.0205	0.1529
HRM system consistency (HRMSC)	0.2368	0.0403	5.8743	<0.01**	0.1574	0.3161
LLA ∗ HRMSC	-0.0046	0.0368	-0.1251	0.9005	-0.0771	0.0679
Age	0.0065	0.0428	0.1524	0.8790	-0.0777	0.0907
Gender	-0.0390	0.0587	-0.6642	0.5072	-0.1544	0.0765
Education	-0.0233	0.0308	-0.7561	0.4503	-0.0840	0.0374
Tenure	-0.0951	0.0321	-2.9602	<0.01**	-0.1583	-0.0318

Note: LLCI = Lower limit confidence level; ULCI = Upper limit confidence level. *p < 0.05; **p < 0.01

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TABLE 5 Conditional effects of HRM attributions on thriving at work at values of moderator (HRM system consistency)

Independent variable	Value of moderator (HRM system consistency)	Conditional effect	SE	t	p	LLCI	UUCI
HRM well-being attribution	Low (mean – 1SD)	0.2079	0.0373	5.5670	<0.01**	0.1344	0.2814
	Mean	0.2593	0.0360	7.2077	<0.01**	0.1884	0.3301
	High (mean + 1SD)	0.3107	0.0498	6.2379	<0.01**	0.2126	0.4087
HRM exploiting attribution	Low (mean – 1SD)	-0.0591	0.0381	-1.5483	0.1227	-0.1341	0.0160
	Mean	-0.1887	0.0432	-4.3709	<0.01**	-0.2737	-0.1037
	High (mean + 1SD)	-0.3183	0.0628	-5.0694	<0.01**	-0.4420	-0.1947

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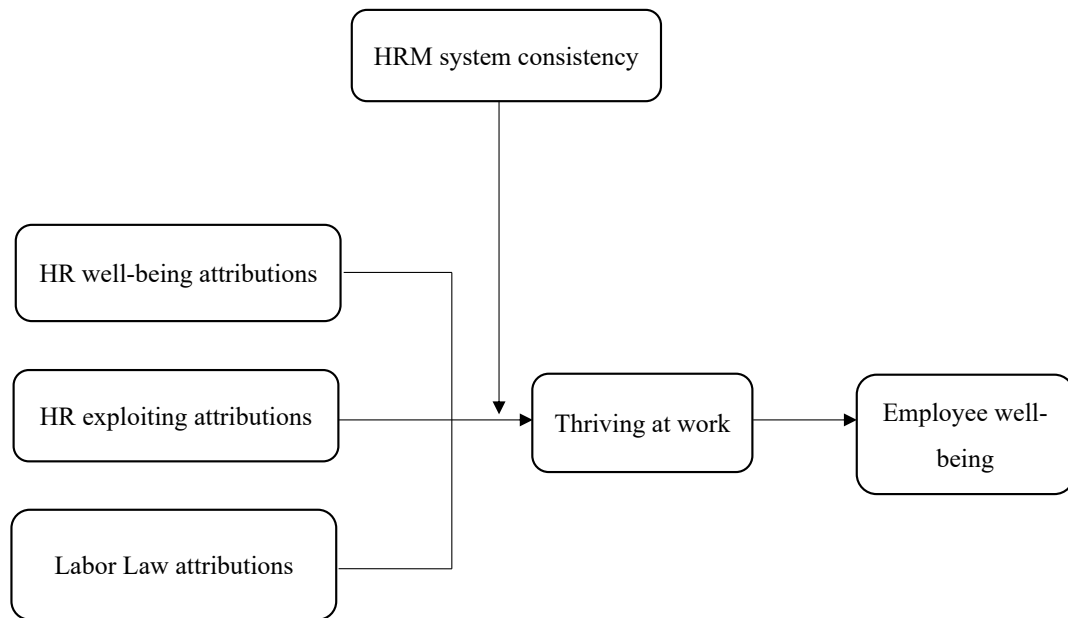
Figure 1. Conceptual model for this study

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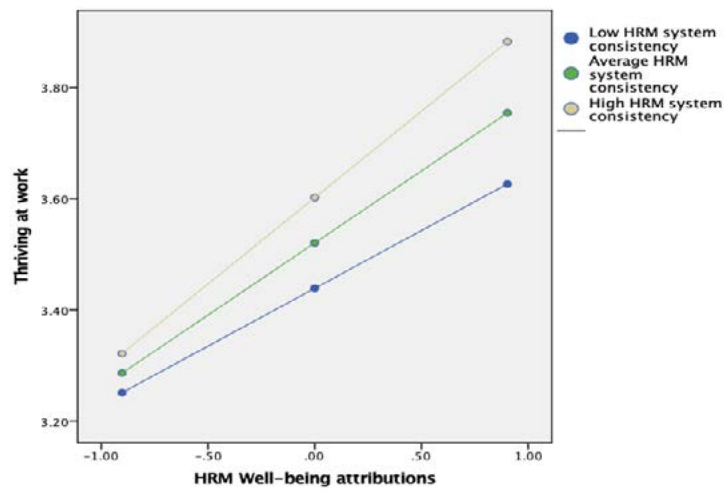
Figure 2. The moderating effect of HRM system consistency on the relationship between HRM well-being

attributions and thriving at work
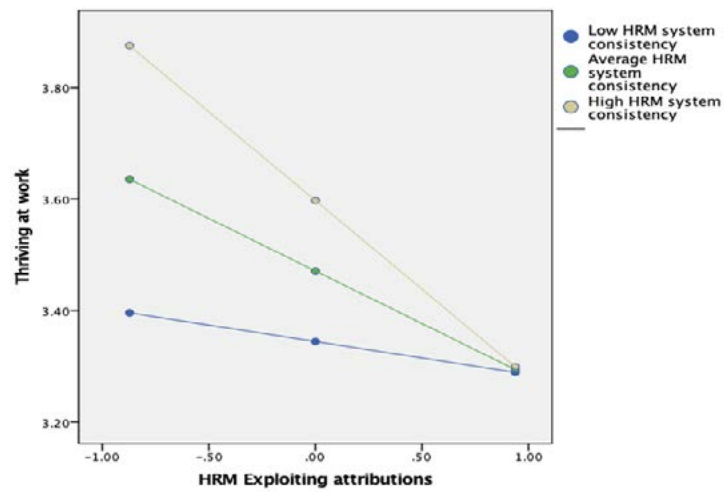
Figure 3. The moderating effect of HRM system consistency on the relationship between HRM exploiting

attributions and thriving at work

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Entrepreneurial Continuance among Small Businesses during COVID-19:

The Role of Relational Embeddedness and Institutional Support

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**Entrepreneurial Continuance among Small Businesses during COVID-19:
The Role of Relational Embeddedness and Institutional Support**

ABSTRACT: *This study investigates how relational embeddedness and perceived institutional support influence entrepreneurs' intention to keep ventures going during the COVID-19 pandemic (i.e., intention for entrepreneurial continuance, IEC). We surveyed 295 small business owners in China in late 2020, and analyzed the data using structural equation modeling. Relational embeddedness and perceived institutional support both significantly influenced IEC through the mediating effects of the three Theory of Planned Behavior (TPB) determinants (attitude, subjective norms and perceived behavioral control). The study contributes to organizational resilience theory by corroborating the explanatory power of TPB in predicting entrepreneurial continuance intentions in the context of disruptions. It also reinforces the roles of relational embeddedness and institutional support in facilitating small business survival.*

Keywords: relational embeddedness; institutional support; COVID-19; entrepreneurial continuity

INTRODUCTION

The practice of entrepreneurship during turbulent times is extremely challenging (Bullough & Renko, 2013). In the ongoing COVID-19 pandemic, entrepreneurs have faced unprecedented challenges and uncertainties that have fundamentally changed the way that business is conducted. Lockdowns have had enormous impact on entrepreneurial activities and left many businesses, in particular small businesses, in limbo or seen them closing down (Bartik et al., 2020; Donthu & Gustafsson, 2020). As small businesses make significant social and economic contribution in most economies, their survival is critical. Thus, it is particularly important to understand small business owners' intentions to continue their businesses or intention for entrepreneurial continuance (IEC) and what drives entrepreneurs to keep their businesses going during external shocks like pandemics.

Entrepreneurial continuance refers to the intentional willingness of entrepreneurs in maintaining their businesses over time (Datta et al., 2020). It forms a critical part of the entrepreneurial life cycle (Datta et al., 2020). Researching the antecedents of entrepreneurs' continuance intentions can contribute to improving organizational resilience and thereby extend the lifespan of businesses and reduce the risk of venture failure.

This study focuses on IEC, which is similar to Datta et al. (2020)'s definition of entrepreneurial continuance as an "intentional willingness". Based on the Theory of Planned Behavior (TPB), behavioral intention is widely considered as the best predictor of actual behavior (Ho et al.,

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2016; Krueger & Carsrud, 1993; Krueger et al., 2000; Van Breukelen et al., 2004). Hence, studying IEC during uncertainty can provide reliable perspectives to understanding this phenomenon.

This study primarily concentrates on two IEC antecedents: organizational and institutional factors. Granovetter (1973, 1985, 1992) argues that individuals are embedded in networks of different relations. Accordingly, regarding whether entrepreneurs intend to continue or exit their businesses, the network that the entrepreneur is embedded in exerts powerful influences on their intention. Hence, this study examines the role of *relational embeddedness* on entrepreneurs' continuance intention. The *institutional* environment also constitutes another important factor of entrepreneurial activities (Williams & Vorley, 2015). Entrepreneurs are highly rooted in the larger institutional environment (Allinson et al., 2000; Sadler-Smith, 2016). Entrepreneurial activities will struggle to survive without support from formal or informal institutions (Stephan et al., 2015).

To investigate IEC during the COVID-19 pandemic, we focus on China, the country in which the coronavirus was first detected and is still suffering from it, albeit she has been relatively successful in containing its spread. Although China is still a socialist economy, more than four decades of Chinese economic reform since the late 1970s has led to the country having the largest number of private enterprises in the world and burgeoning entrepreneur groups (Lin et al., 2003) and as such, it is a relevant context in which to conduct this study. In effect, COVID-19 may well be the first major external shock that has affected this generation of Chinese entrepreneurs and small business owners.

The aim of this study is therefore to investigate how relational embeddedness and perceived institutional support influence entrepreneurs' IEC during the COVID-19 pandemic. It is concerned with the following two research questions: (1) What are the entrepreneurial intentions of Chinese small business owners amidst the pandemic uncertainties? (2) What are the influencing factors of continuance intentions and how does it work?

Among small businesses, organizational resilience is especially important and relevant because it is estimated that about half of them fail within five years (Small Business Administration, 2012). At the individual level, existing research has studied resilience as cognitive and behavioral traits to explain why and how individuals bounce back repeatedly from failures to start a small business or how small business owners recover from unexpected adverse events (Bullough, et al.,

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2014; Muehlfeld et al., 2017; Nisula & Olander, 2020). However, there are still unanswered questions

for the high failure rate of small businesses that relate to resilience (Linnenluecke, 2017). Our study, in

particular, responds to the call for a better understanding of what factors may influence the ways that

individuals (e.g., small business owners) enact resilience, in this case, the intention to continue their

entrepreneurial ventures, in the context of an emerging transitional economy, China, that has been

undergoing major disruptions as a result of the COVID-19 pandemic.

LITERATURE REVIEW AND HYPOTHESIS DEVELOPMENT

Understanding entrepreneurial resilience through entrepreneurial continuance

While there are various criteria for defining a "resilient" business or entrepreneur (Bullough & Renko,

2013; Dahles & Susilowati, 2015; Soroka et al., 2020), we follow Tedeschi and Calhoun (2004, p. 4)

in defining resilience as "an ability to continue living a purposeful life after experiencing hardship and

adversity". Resilience enables entrepreneurs to persevere in the midst of adversity and it is closely

linked to entrepreneurial intentions (Bullough & Renko, 2013). During major disruptions, the capacity

to adapt to shocks and resolve to continue the business can signify how resilient the entrepreneur is in

coping with the crisis (Datta et al., 2020; Soroka et al., 2020). The actual entrepreneurial continuance

behavior might be a result of involuntary persistence of underperforming businesses (Gimeno et al.,

1997; Patzelt & Shepherd, 2008). IEC, however, reflects an entrepreneur's intentional willingness to

maintain the business over time (Datta et al., 2020). Therefore, during turbulent times, IEC may be a

better representation of entrepreneurs' resilience than actual behaviors.

Relational embeddedness and entrepreneurial continuance

Embeddedness delineates the multiple social, cultural, economic and interpersonal relationships that

exist within networks, organizations, structures and social groups (Granovetter, 1992; Weller, 2006).

In Granovetter's (1985) work on the role of embeddedness in economic activities, he argues that "most

behavior is closely embedded in networks of interpersonal relations" (p.504). In entrepreneurial

research, Moran (2005) has proposed two distinct but interrelated attributes of social relations to

describe relational embeddedness of an entrepreneur with his/her business contacts: *relational*

closeness and *relational trust*. Relational closeness is concerned with the extent of personal familiarity

in a relationship while relational trust provides assurance that people can rely on the intentions or

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behaviors of specific others in a relationship — especially "in the face of uncertainty and vulnerability" (Moran, 2005, p. 1136). Thus, relational embeddedness measures the intimacy and reliance of an entrepreneur with his or her business networks.

Building on Giddens' (1984) structuration theory, Jack and Anderson (2002) developed the concept of entrepreneurship as an embedded socio-economic process and found that embeddedness not only plays a key role in shaping entrepreneurial ventures, but also in sustaining them. During major global disruptions like the COVID-19 pandemic, the role of relational embeddedness for entrepreneurs is especially important. If entrepreneurs have a close relationship with their business networks, they are more likely to share information, experience and access to external resources in response to the existential threat. Meanwhile, if they trust each other and have shared values and interests (Li et al., 2013), entrepreneurs can turn to their business networks for financial and/or emotional support if they are in difficulty. As such, entrepreneurs with a stronger degree of relational embeddedness are more likely to continue their businesses during a crisis.

Institutional support and entrepreneurial continuance

Institutions refer to deep levels of social structure which can offer explicit or implicit guidelines for individual actions. From the institutional configuration perspective, individual behaviors are determined by both formal and informal institutions (Powell & DiMaggio, 2012; Stephan et al., 2015). Formal institutions relate to incentives and constraints from government policies and regulations on organizational activities and individual behaviors (Bruton et al., 2010; Scott, 2005). In the entrepreneurship context, support from formal institutions includes tangible resources such as financial subsidies and funding, and intangible resources like legal and policy support. In an environment where formal institutional support is weak and ineffective, entrepreneurs may also depend heavily on informal norms which result from informal institutions filling in the "institutional voids" (Bruton et al., 2010). Support from informal institutions in these contexts is mostly embodied in the culturally and socially related interpersonal ties fostered by individuals (Peng & Luo, 2000; Scott, 2005).

As a socialist economy with market characteristics, formal institutions play an important role in China (Puffer et al., 2010). However, institutional voids also exist in China (Peng & Luo, 2000). *Guanxi*, which refers to the informal and particularistic personal connection between individuals, is

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ubiquitous in Chinese society and often acts as the source of informal institutional support and as substitutes for formal institutional support (Chen & Chen, 2004; Xin & Pearce, 1996). *Guanxi* is especially important for doing business in China (Luo, 2007; Puffer et al., 2010). For example, many Chinese entrepreneurs prefer to obtain loans from informal channels such as relatives, friends, or other private lending sources like peer-to-peer (P2P) lending (Chen et al., 2020), rather than from financial institutions and banks. As such, although formal institutional support for entrepreneurs may have a stronger presence during the pandemic, *guanxi*-based informal institutional support will still be preferred by many entrepreneurs. Accordingly, formal and informal institutional support are central to the continuance intention of entrepreneurs whose businesses are deeply beset by the pandemic. It can be argued that the more institutional support that entrepreneurs perceive they are receiving during the pandemic, the more resilient their businesses are, and thus they are more likely to continue operating the business.

Theory of Planned Behavior and intention for entrepreneurial continuance

Entrepreneurship is considered as an intentional process wherein entrepreneurs cognitively plan to carry out the behaviors of opportunity identification and venture creation and development (Lortie & Castogiovanni, 2015). The TPB (Ajzen, 1985, 1991) is a well-established theoretical model which has been widely applied in studying entrepreneurial intentions and behaviors (Kautonen et al., 2013; Krueger et al., 2000; Leroy et al., 2015). According to the TPB, individuals' behavioral intentions are predicted by one's attitude towards the behavior, subjective norms, and perceived behavioral control. IEC is a behavioral intention and a critical part of entrepreneurial intentions (Datta et al., 2020) and thus the TPB is suitable to serve as the theoretical underpinning of this study.

The first of the three TPB determinants of intentions, attitude, reflects a person's positive or negative beliefs of performing a specific behavior and denotes a person's beliefs about the consequence of performing that behavior (Ajzen, 1991). In this study, *attitude towards entrepreneurial continuance* pertains to an entrepreneur's evaluation of whether continuation of the current business is desirable or not. *Subjective norms* refer to a person's perception that one's "important others" like close family or friends, would support the decision to carry out a certain behavior (Leroy et al., 2015). In this study, subjective norms are the opinions and attitudes from an

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entrepreneur's family members, close friends and one's close business contacts on whether the entrepreneur should continue the current business. *Perceived behavioral control* denotes a person's perceptions of the ease or difficulty of executing a behavior (Ajzen, 1991). In this study, perceived behavioral control refers to the extent entrepreneurs perceive they have control over the continuance process (Leroy et al., 2015). Taken together, drawing on the TPB propositions (Ajzen, 1985, 1991), the three determinants are predicted to directly influence entrepreneurs' continuance intention.

While it was not hypothesized in Ajzen's original model, given that much research has shown that subjective norms can also indirectly influence behavioral intentions via attitude (Ho et al., 2016; Sheeran et al., 1999; Tarkiainen & Sundqvist, 2005), this study also assumes that attitude plays a mediating role between subjective norms and continuance intention. In other words, entrepreneurs' attitude about whether to continue the current business is influenced by their important others. Based on the above discussion, Hypotheses 1a – 1d are proposed (Table 1):

Insert Table 1 about here

The mediating roles of TPB determinants

In the TPB literature, predictors of intentions can either influence intentions via the mediating roles of TPB determinants (Carr & Sequeira, 2007; Leroy et al., 2015) or directly predict intentions in parallel with the three TPB predictors (Chen & Tung, 2014; Han & Kim, 2010). Ajzen (2001) argues that the three TPB determinants are adequate to predict intentions and behaviors, whereas including other predictors accounted for rather limited additional variance in behavioral intentions. Van Breukelen et al. (2004) conducted an experiment which has corroborated Ajzen's statement that the three external variables failed to explain any additional variance but rather, they exert influence on intention through the mediating role of the TPB determinants. Considering the above, we also postulate that relational embeddedness and institutional support do not directly affect entrepreneurs' continuance intention. Instead, we propose that the three TPB determinants act as mediator variables between relational embeddedness, institutional support, and IEC. Hence, Hypotheses 2 - 4 are proposed (see Table 1).

Entrepreneurs' perception of the future and post-pandemic recovery prospects

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Entrepreneurs' perception and anticipation of the future link their entrepreneurial actions with venture performance (Antonacopoulou & Fuller, 2020; Rita et al., 2018). Given the magnitude of the pandemic's disruptions in China and in the global economy (Zhang, Wang, et al., 2020), the research offers us the opportunity to examine how entrepreneurs perceive recovery from the pandemic. If an entrepreneur thinks the post-pandemic economic and societal recovery will be fast, with a robust V-shaped recovery, then they will be more likely to continue the current business despite any serious impact on the business thus far. On the contrary, a pessimistic or skeptical prospect of the post-pandemic recovery may weaken the willingness of IEC. In this study, we postulate that the post-pandemic recovery prospect plays a moderating role between the three TPB determinants and IEC. Based on this, Hypotheses 5a – 5c are proposed (see Table 1).

DATA AND METHODS

Sample and procedure

Due to COVID-19 travel restrictions, we conducted an anonymous online survey of Chinese entrepreneurs via *Wenjuanxing,* which has been established as a reliable research survey platform (Cao et al., 2020; Wang et al., 2016), over a one-month period in the second half of 2020. Respondents were required to be business owners who own a business as the sole proprietor or in partnership with others. To ensure demographic diversity of the respondents, we used a nationally representative sample database. A total of 450 questionnaires were distributed through the platform, and 326 respondents completed the survey within two weeks. We deleted those with arbitrary responses and significant missing values, resulting in the final sample of 295 respondents.

Table 2 presents the profiles of the 295 entrepreneurs and their businesses. We also asked respondents about their *hukou* (Chan & Zhang, 1999) status, China's household registration system, which is central to understanding the rural-urban dichotomy in China. Residents with different *hukou* status (i.e. rural and urban *hukou*) are entitled to different social welfare and benefits (Zhang, Seet, et al., 2020). We also examined if the respondent was an internal migrant or local-born resident.

As there is no official definition of a "small business" in China, we followed that used by some researchers (Acs, 1992; Hornsby & Kuratko, 1990) and industry (ASIC, 2019) by identifying small businesses as those having fewer than 100 employees. The entrepreneurs that participated in the

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research were all from small businesses with less than 100 employees, with 61.7 percent having fewer than 11 employees and 85.4 percent having under 31 employees (excluding the respondent). Most businesses had been operating for more than three years (68.8 percent) while 76.9 percent of the entrepreneurs had more than three years of entrepreneurial experience. 42.0 percent of respondents also reported that they had previously discontinued their businesses (exit experience).

Insert Table 2 about here

Measures

Relational embeddedness (RE) consisted of four seven-point Likert-scale questions from 1 (strongly disagree) to 7 (strongly agree). It was adapted from Moran (2005) and Saparito et al. (2004)'s research which conceptualize relational embeddedness as relational closeness (item 1) and relational trust (items 2 to 4). The Cronbach's alpha was 0.82.

Perceived institutional support (PIS) was measured by three five-point questions from 1 (not at all) to 5 (to a very great extent), which were adapted from the Povey et al. (2000) measurement. Some modifications were made to apply to the COVID-19 context. The Cronbach's alpha was 0.81.

Attitude towards entrepreneurial continuance (ATT) was adapted from Leroy et al. (2015) which was based on the Krueger et al. (2000) measure. Four items from 1 (strongly disagree) to 7 (strongly agree) were measured. The Cronbach's alpha was 0.87.

Subjective norms (SN) was adapted from Kolvereid and Isaksen (2006). Four items from 1 (strongly disagree) to 7 (strongly agree) were measured which examine the attitudes from one's close family members, friends, business contacts and other important others. The Cronbach's alpha was 0.84.

Perceived behavioral control (PBC) was measured by three seven-point items from 1 (strongly disagree) to 7 (strongly agree) adapted from Leroy et al. (2015) which was based on Kraft et al. (2005). The Cronbach's alpha was 0.80.

Intention for entrepreneurial continuance (IEC) was adapted from Leroy et al. (2015) and Kraft et al. (2005) and three seven-point items from 1 (strongly disagree) to 7 (strongly agree). The Cronbach's alpha was 0.83.

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Recovery prospect (RP) was developed by the authors due to the lack of similar research in the pandemic context. Three five-point questions from 1 (not at all) to 5 (to a very great extent) were focused on the respondents' anticipation for the recovery from the pandemic in the next year on macro environment, regional and industrial levels respectively. The Cronbach's alpha was 0.80.

Control variables. Given empirical evidence from previous entrepreneurial studies (Block et al., 2013; Datta et al., 2020; Leroy et al., 2015; Liu et al., 2019), we included gender, age, education level, exit experience, *hukou* status, migrant status and firm size as control variables in this study.

RESULTS

Measurement model

Several tests were performed to evaluate the reliability, convergent validity and discriminant validity of the measurement model (Churchill Jr, 1979; Ho et al., 2016). *Reliability*: The Cronbach's alpha and composite reliability (CR) values for the seven model constructs were all greater than 0.70 (0.795 ~ 0.873), which suggest a satisfactory reliability of internal consistency (Bland & Altman, 1997). *Convergent validity:* We conducted confirmatory factor analysis (CFA) and calculated the average variance extracted (AVE) value to assess the convergent validity. Two items from PBC and IEC constructs were deleted due to low factor loadings (< 0.65). All the other items have factor loadings greater than 0.70 (mean$_{FL}$= 0.762). All seven AVE values are greater than 0.50, with the results confirming the convergent validity of the measurement model (Brown & Moore, 2012; Fornell & Larcker, 1981).

Insert Table 3 about here

Structural model

The hypothesized structural model was tested using structural equation modeling (SEM) in *R* using maximum likelihood estimation. In addition to the hypothesized theoretical model, we tested four other models and then compared their model fit indices with the theoretical model (i.e. Model 1, see Table 5). As shown in Table 5, the theoretical model attained a good model fit (χ^2/df = 1.76, CFI = 0.953, RMSEA = 0.051, SRMR = 0.054). The coefficients of most direct paths in Model 1 were significant at the 0.05 level except the SN → IEC and RE → ATT paths. Nevertheless, in Model 2 and

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Model 4, there were three and five direct paths that exceeded the 0.05 p-value respectively. Model 3 did not attain a satisfactory model fit as discussed previously. RP did not directly affect IEC as suggested by Models 2 and 4. In Model 4, we also tested the direct effect of relational embeddedness and perceived institutional support on IEC, and the results indicate that both did not have a significant direct impact on IEC ($p > 0.10$), but they exert influence on intention via the TPB constructs. Thus, as shown in Tables 3 and 4, an overall comparison indicates that Model 1 achieves the best model fit.

Insert Table 4 and Table 5 about here

Hypothesis testing

Direct effects. Regarding the "core" aspects of the TPB, attitude and PBC both positively and significantly related to IEC ($\beta = 0.46$; $\beta = 0.45$), whereas subjective norms did not have a significant direct influence on IEC across all five tested models. Therefore, Hypotheses 1a and 1c were supported, while 1b was rejected. However, subjective norms were found to have a strong and significant influence on attitude ($\beta = 0.66$, $p < 0.01$). The indirect path between subjective norms and intention through attitude was also significant ($\beta = 0.32$, $p < 0.01$). Therefore, Hypothesis 4c was supported. Relational embeddedness and perceived institutional support both had a positive and significant impact on the three TPB determinants except for the RE → ATT path. Thus, Hypotheses 2b, 2c, 3a, 3b and 3c were supported, while Hypothesis 2a was not supported. Relational embeddedness has a higher impact on SN, whereas PIS has a higher influence on attitude and PBC.

Indirect effects. The indirect paths in Model 1 mainly refer to the impact of relational embeddedness and perceived institutional support on continuance intention via the TPB determinants. As we discussed previously when interpreting the result of Model 4, RE and PIS did not directly affect IEC but rather they influence intention through the indirect paths via the three TPB determinants. The total indirect effects of RE → IEC ($\beta = 0.47$) and PIS → IEC ($\beta = 0.57$) were strong albeit three out of the eight indirect paths were not significant. Thus, hypotheses 4a and 4b were supported.

Moderation effects. As for the moderating effects of recovery prospect, none of the three moderating relationships were significant. Therefore, Hypotheses 5a to 5c were rejected. Table 6 and Figure 1 display the modeling results of the hypothesized research model.

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Insert Table 6 and Figure 1 about here
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Control variables. Migrant status, which was measured by determining if the respondent was born in the jurisdiction where they currently live in ("yes"=0, "no"=1), was the only control variable that had a significant impact on continuance intention (β = -0.12, P <0.05). This indicates that local-born entrepreneurs had a stronger intention to continue their businesses than migrant entrepreneurs.

DISCUSSION AND CONTRIBUTIONS

This paper holds several implications for theory. First, this study corroborates Ajzen's (2001) claim that the three TPB determinants are adequate to predict behavioral intentions and actual behaviors, while including other direct predictors to the model will add minor additional variance in the outcome variables. In our analysis, relational embeddedness and perceived institutional support both had no significant direct impact on continuance intention; however, the indirect effects through the mediating roles of the TPB determinants were strong and significant.

Second, the non-significant correlation between subjective norms and IEC is in line with previous TPB-based entrepreneurial studies which suggest that subjective norms have the smallest and/or non-significant coefficient with entrepreneurial intention among the three TPB determinants (e.g. Kautonen et al., 2013; Leroy et al., 2015; Robledo et al., 2015; Shook & Bratianu, 2010).

Third, this paper adds to research on social capital by demonstrating the strong predictive power of relational embeddedness, an important dimension in social capital (Moran, 2005). The extant entrepreneurial literature on relational embeddedness has previously focused on its impact on firm performance (Dhanaraj et al., 2004; Moran, 2005), business expansion and growth (Bird & Zellweger, 2018; Li et al., 2013), and business partner selection (Meuleman et al., 2017), while little is known about its role in business continuity. This study found that relational embeddedness substantially determined entrepreneurs' continuance intention through the TPB mediators (β = 0.47, p < 0.01).

Fourth, this study reveals that institutional support serves as a salient antecedent of the TPB determinants and continuance intention. In the Chinese context, not only formal institutional support, which refers to government-linked support, but also informal institutional support, which mostly derives from *guanxi*, plays a central role. This may explain why the third measure item in PIS, which

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measured the importance of informal institutional support in keeping respondents' businesses going, had the highest factor loading (0.78) among the three PIS items.

Fifth, in terms of post-pandemic recovery prospects, although RP was scored substantially higher than PIS, it did not moderate the relationships between the three TPB predictors and IEC as we initially hypothesized, nor did it directly predict intention as was tested in Model 2. A possible explanation may be that Chinese citizens are generally cautious in discussing macro policy or political topics. However, when it comes to the pandemic-related impact on their own businesses (i.e. perceived institutional support), perceptions of business owners may be more specific than those of the general public, and thus are more closely related to other variables in the theoretical model.

CONCLUSION

Aiming at investigating the entrepreneurial intentions of entrepreneurs amidst uncertainties, and the influencing factors of continuance intentions and their influencing mechanisms, the study provides a more accurate and complete picture of the contextual tapestry within which small business resilience operates, by exploring the factors affecting entrepreneurs as decision-makers who must deal with disruptions and uncertainties. This study examined the intention for entrepreneurial continuance among entrepreneurs in China during the COVID-10 pandemic. Drawing on the TPB model, we found that relational embeddedness and perceived institutional support both had a significant impact on entrepreneurs' continuance intention through the mediating roles of the three TPB determinants. Subjective norms were not found to have a direct impact on intention as the original TPB model suggested, whereas they can still predict intention by affecting attitude. Entrepreneurs' post-pandemic prospect was not found to moderate the relationships between the TPB determinants and continuance intention. In conclusion, studying entrepreneurial continuance intention is critical to understanding entrepreneurial resilience during a crisis. Relational embeddedness and institutional support are both vital for the survival of small businesses and should not be ignored by researchers and policymakers.

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TABLES AND FIGURES

Table 1. List of hypotheses

H1a	Positive attitude towards entrepreneurial continuance is positively related to intention for entrepreneurial continuance.
H1b	Subjective norms are positively related to intention for entrepreneurial continuance.
H1c	Perceived behavioral control over entrepreneurial continuance is positively related to intention for entrepreneurial continuance.
H1d	Subjective norms are positively related to attitude towards intention for entrepreneurial continuance, such that attitude positively mediates the relationship between subjective norms and intention.
H2a	Relational embeddedness is positively related to attitude towards intention for entrepreneurial continuance.
H2b	Relational embeddedness is positively related to subjective norms.
H2c	Relational embeddedness is positively related to perceived behavioral control over entrepreneurial continuance.
H3a	Perceived institutional support is positively related to attitude towards entrepreneurial continuance.
H3b	Perceived institutional support is positively related to subjective norms.
H3c	Perceived institutional support is positively related to perceived behavioral control over entrepreneurial continuance.
H4a-b	The three TPB determinants positively mediate the relationship between relational embeddedness (4a), perceived institutional support (4b) and intention for entrepreneurial continuance.
H5a-c	Post-pandemic recovery prospect positively moderates the relationships between TPB constructs and intention for entrepreneurial continuance.

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Table 2. Respondent and business profiles

Description		N	Percent (%)	Description		N	Percent (%)
Age	≤25	39	13.2	Industry	Retail trade	157	53.2
	26-35	172	58.3		Wholesale	63	21.4
	36-45	69	23.4		Service	27	9.2
	46-55	13	4.4		Transportation & construction	17	5.8
	≥56	2	0.7		Agriculture	9	3.1
Gender	Male	150	50.8		Finance, insurance and real estate	6	2.0
	Female	143	48.5		Others	16	5.4
	Prefer not to say	2	0.7	Number of	≤ 1	11	3.7
Region	East China	161	54.6	employees	2-5	93	31.5
	Central China	65	22.0		6-10	78	26.4
	West China	46	15.6		11-30	70	23.7
	Northeast China	23	7.8		31-100	43	14.6
Education level	High school or below	13	4.4	Yeas of	< 1 year	7	2.4
	Diploma or equivalent	46	15.6	business	1-3 years	85	28.8
	Bachelor or equivalent	221	74.9		3-5 years	109	36.9
	Master or above	15	5.1		5-10 years	83	28.1
Hukou status	Rural	57	19.3		> 10 years	11	3.7
	Urban	238	80.7	Migrant status	Migrant	78	26.4
					Non-migrant	217	73.6
Years of	< 1 year	8	2.7	Times of exit	1 time	90	30.8
entrepreneurship	1-3 years	60	20.3		2-3 times	32	11.1
	3-5 years	93	31.5		More than 3 times	2	0.7
	5-10 years	113	38.3	Pandemic	Very severe	33	11.2
	> 10 years	21	7.1	impact on profit	Severe	94	31.9
Exit experience	Yes	124	42.0		Has a certain impact	155	50.8
	No	171	58.0		Not affected	12	4.1
					Has a positive impact	8	2.7

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Table 3. Correlations and discriminant validity test

Variable	Mean	SD	ATT	SN	PBC	IEC	PIS	RE	RP
ATT	21.11	3.79	**.80**						
SN	22.38	3.29	.73	**.75**					
PBC	16.95	2.62	.73	.70	**.75**				
IEC	17.46	2.68	.76	.70	.73	**.79**			
PIS	9.41	2.05	.56	.52	.48	.48	**.77**		
RE	22.21	2.66	.48	.55	.46	.53	.35	**.73**	
RP	11.25	2.14	.53	.49	.51	.49	.61	.36	**.76**

Variable values are calculated by treating them as manifest variables. The scores in boldface on the diagonal are the square roots of AVE.

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Table 4. Confirmatory factor analysis results

Constructs and items (translated from Chinese)	Factor loading	z-value	Cronbach's α	CR	AVE
Attitude towards entrepreneurial continuance (ATT)			0.871	0.873	0.633
ATT1: Continue operating my current business seems a good idea.	0.809	34.47			
ATT2: I feel anxious to continue my current business (reverse coded).	0.801	32.83			
ATT3: I am excited at the thought of continuing my business.	0.752	26.45			
ATT4: Continue operating my current business is what I wanted.	0.818	34.86			
Subjective norms (SN)			0.836	0.836	0.560
SN1: My close family think I should continue operating my current business.	0.737	24.13			
SN2: My close friends think I should continue operating my current business.	0.723	22.62			
SN3: People important to me think that I should continue my current business.	0.780	28.55			
SN4: People in my close business network think I should continue my current business.	0.752	25.26			
Perceived behavioral control (PBC)			0.795	0.797	0.567
PBC1: I find it is feasible to continue my current business.	0.789	28.33			
PBC2: I am confident that I can continue operating the business successfully.	0.750	25.01			
PBC3: I have strong control over the continuance process.	0.718	21.67			
Intention for entrepreneurial continuance (IEC)			0.828	0.829	0.618
INT1: I will continue doing my current business.	0.789	30.22			
INT2: The chance of continuing my current business is high	0.766	27.45			
INT3: I am prepared to continue doing my current business.	0.802	31.64			
Relational embeddedness (RE)			0.816	0.819	0.530
RE1: The relationship between me and my business-related contacts is close.	0.705	19.35			
RE2: My business-related contacts share common business values with me.	0.723	20.56			
RE3: I could freely share information/concerns/problems in business with my business-related contacts.	0.735	21.46			
RE4: My business-related contacts have the skills/expertise which can facilitate doing my business.	0.749	22.36			
Perceived institutional support (PIS)			0.813	0.814	0.593
PIS1: To what extent do you think governments' COVID support (e.g. policy support, financial assistance, tax waiver) keep your business going?	0.763	23.86			
PIS2: To what extent do you think non-government organizations' COVID support (e.g. bank assistance, private lending) keep your business going?	0.764	23.99			
PIS3: To what extent do you think other forms of COVID support (e.g. pecuniary/non-pecuniary support from other informal institutions or individuals) keep your business going?	0.783	25.56			
Recovery prospect (RP)			0.804	0.807	0.582
RP1: To what extent do you agree that the *macro environment* will recover quickly and robustly from the pandemic impact in the next year?	0.797	26.09			
RP2: To what extent do you agree that the *region* where you live will recover quickly and robustly from	0.758	23.17			

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Stream 5: Entrepreneurship & SMEs

the pandemic impact in the next year?		
RP3: To what extent do you agree that the *industry* which your business belongs to will recover quickly and robustly from the pandemic impact in the next year?	0.732	21.07

CR: composite reliability.   AVE: average variance extracted.

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Table 5. Model fit summary

Model	χ2	df	χ2/df	CFI	RMSEA	SRMR
Model 1: RE & PIS as IVs, TPB as MEs, RP as MO	421.08	239	1.76	0.953	0.051	0.054
Model 2: RE & PIS as IVs, TPB & RP as MEs	420.55	238	1.77	0.953	0.051	0.053
Model 3: Model 1 + RE predict PIS	524.50	240	2.19	0.926	0.063	0.084
Model 4: Model 2+ RE & PIS predict IEC	413.99	236	1.75	0.954	0.051	0.053
Model 5: TPB only	131.02	72	1.82	0.976	0.053	0.029

Model 1 is the theoretical model. IV: independent variable. ME: mediator variable; MO: moderator variable.

Table 6. Results of hypothesis testing

Path	Coefficient	SE	z-value	p-value
ATT → IEC	0.457**	0.118	3.86	0.000
SN → IEC	0.134	0.131	1,14	0.265
PBC → IEC	0.445**	0.084	5.27	0.000
RE → ATT	0.040	0.077	0.53	0.559
PIS → ATT	0.263**	0.071	3.72	0.000
SN → ATT	0.661**	0.095	6.93	0.000
RE → SN	0.517**	0.058	8.86	0.000
PIS → SN	0.465**	0.059	7.93	0.000
RE → PBC	0.433**	0.066	6.54	0.000
PIS → PBC	0.506**	0.063	8.02	0.000
Indirect effect:				
RE → ATT → IEC	0.020	0.039	0.51	0.610
RE → SN → IEC	0.075	0.069	1.09	0.275
RE → PBC → IEC	0.209**	0.056	3.71	0.000
RE→ SN→ATT→ IEC	0.169**	0.056	3.04	0.002
Total ind.: RE → IEC	0.473**	0.071	6.70	0.000
PIS → ATT → IEC	0.125**	0.045	2.77	0.006
PIS → SN → IEC	0.065	0.059	1.11	0.268
PIS → PBC → IEC	0.235**	0.056	4.23	0.000
RE→ SN→ATT→ IEC	0.146**	0.049	2.99	0.003
Total ind.: PIS → IEC	0.571**	0.072	7.96	0.000
SN → ATT → IEC	0.316**	0.097	3.27	0.001
Moderating effect:				
RP×ATT → IEC	-0.133	0.150	-0.89	0.375
RP×SN → IEC	0.051	0.132	0.39	0.700
RP×PBC → IEC	-0.105	0.157	-0.67	0.505

Ind.: indirect effects. ** $P < 0.01$, * $P < 0.05$.

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Stream 5: Entrepreneurship & SMEs

Figure 1. Structural equation modeling results of the hypothesized model
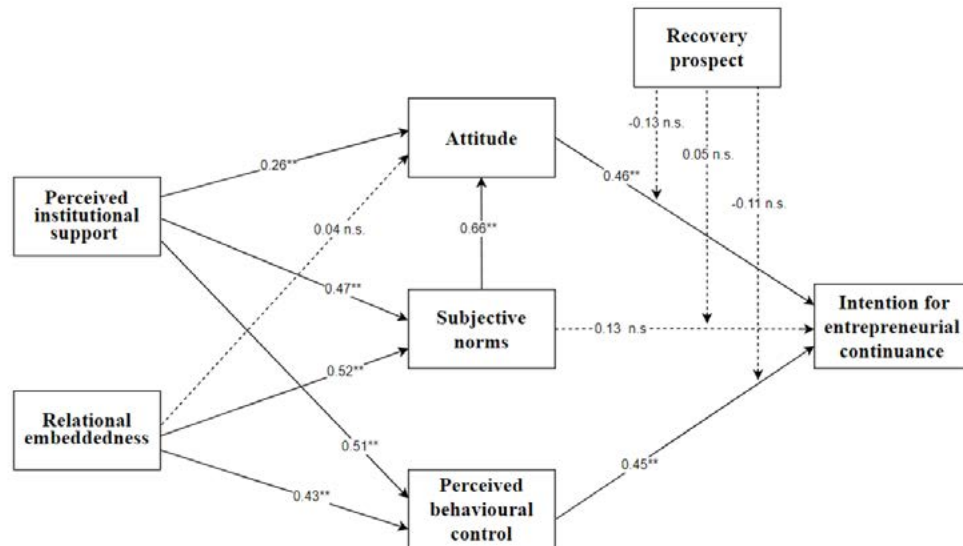
Non-significant paths were in dotted lines. Mediating effects were not included in the figure. ** $P <$ 0.01, * $P < 0.05$.

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Disasters and International Business: A Mixed Effect Analysis and Implications

for Practitioners

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Understanding the Intertemporal Tension

Effects of Australian Energy Sustainability

Through the Lens of Paradox Theory

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ABSTRACT

Business sustainability, an emerging strategy of energy companies to cope with climate change, has been studied by researchers in the organisational management area. However, tensions resulting from interdependent and conflicting objectives of business sustainability are still unclear. In this paper, we adopted the paradox theory to explore intertemporal tensions and tensions between business and society in business sustainability. We applied content analysis to examine 31 pieces out of 74 public news of the Australian energy industry from 2010 to 2020. We aimed to provide empirical insights to identify how the long-term and short-term orientations are interrelated and achieve conflicting sustainability intentions simultaneously. The paper contributes to the paradox theory by studying the concepts of time-based tensions in business sustainability.

Keywords: Grand Societal Challenge, Climate Change, Business Sustainability, Content Analysis, Paradox Theory, Intertemporal Tensions

INTRODUCTION

The definition of grand societal challenge (GSC) is an enormous scope of unsolved and complex societal problems (Berrone, Gelabert, Massa-Saluzzo, & Rousseau, 2016) which influence the global population (Brammer, Branicki, Linnenluecke, & Smith, 2019). Climate change is one of the biggest challenges facing humanity and social development (Wright & Nyberg, 2017). Climate change has worsened dry and hot conditions, increasing the risk of bushfires in Australia (Vardoulakis, Marks, & Abramson, 2020; NASA-FIRMS MODIS collection). These uncontrollable fires have negatively impacted human health, biodiversity, vegetation structure, various pollution, and economic development (Dunne, 2020; Fuller, 2020; Kilvert, 2020). With the 2019-2020 Australian bushfire season, the debates on bushfires and climate change tend to polarise the Australian citizens on environmental, economic, and even political divides because of the representation of conflicting interests (Zheng & Bhatt, 2021). Consequently, it has prompted a new peak in the discussion of climate change.

In the face of the influences of climate change on human society and economics, businesses

are usually expected as the best agents to address environmental concerns and sustainable development (Garnaut, 2008). Companies can be both causes and possible resolutions of climate change (Howard-Grenville, Buckle, Hoskins, & George, 2014), as they take the role of the economy's productive resources (Bansal, 2002). For example, the coal industry might harm climate in their operation, and they also can provide a potential solution, such as the transition to clean energy, to deal with climate change. Therefore, businesses are expected to manage economic and society-driven strategies to achieve sustainable development with positive environmental effects (Hahn, Pinkse, Preuss, & Figge, 2016).

Business sustainability is the junction of the three principles: economic prosperity, environmental integrity, and social equity (Bansal, 2005). Sustainability in business requires a long-term orientation, which means that companies' strategies have a close relationship with the environment and society. Therefore, the objective of business sustainability is to meet the demands of future generations rather than the short-term profit focus of business (Slawinski & Bansal, 2015). At the same time, companies have the fundamental responsibility of improving financial performance and protecting shareholder interests driven by short-term tension with economic logic (David, Hitt, & Gimeno, 2001). As a result, business sustainability has inherently hidden tensions between different focuses that inhabit at different time scales (Hahn, Pinkse, Preuss, & Figge, 2015).

Cross-sector cooperation is a common approach to address environmental debates and conflicting tensions. Previous studies have discussed two paths to manage tensions of business sustainability: the trade-offs or the win-win strategies (Bansal, 2005; Clarke & MacDonald, 2019). The trade-offs approach assumes that increases in the interest of one stakeholder typically come at decreases in the interest of other members. From a short-term resource perspective, every business stakeholder is essential to achieving business sustainability (Kihl, Tainsky, Babiak, & Bang, 2014; Clarke & MacDonald, 2019). Therefore, businesses need to balance the trade-offs of maintaining stakeholders' conflicting interests to achieve the overall interests when handling business sustainability's internal and external pressure (Doh, Tashman, & Benischke, 2019).

Secondly, scholars argue that cross-sector cooperation also can achieve the sustainability

objective via a win-win framework. Collaboration requires businesses to pay attention to multiple stakeholders' voices (Di Domenico, Tracey, & Haugh, 2009). Thus, it provides potential opportunities for companies to explore interest achievable, inspiring business sustainability goals (Fiol & O'Connor, 2002; Kaplan, 2008; George, Howard-Grenville, Joshi, & Tihanyi, 2016). Le Ber and Branzei (2010) proved that the interaction among stakeholders who have opposing value creation structures could sometimes result in value frame merging under the win-win cooperation.

From the perspectives of trade-offs and win-win, we can see tensions in business sustainability are contradictory but also complementarity to each other (Cunha, & Putnam, 2019). The three principles of business sustainability: economic and environmental, and social objectives, seem to isolate but are internally interdependent (Bansal, 2002). The paradox of tensions emerges from stakeholders' different economic and social logic to address climate change, which requires different time lenses to achieve sustainability objectives (Slawinski & Bansal, 2015; Hahn et al., 2016).

Although the prior studies have made considerable contributions to business sustainability, a significant research gap maintains. The research gap contains unclear understandings, including how businesses embrace tensions by accepting conflicting and complementary time-based orientations to achieve their competing sustainability goals simultaneously.

The research question is, what time-based tensions and how do they affect business sustainability in energy sector? This paper used content analysis to review 74 public news of the Australian energy industry systematically. It contributes to the literature on organizational management, the natural environment, and paradox theory in the time horizon. This research provides a paradox lens to fix the gap by investigating how businesses' environmental practices manage conflict interests based on the time-based tensions to achieve sustainability objectives. Specifically, identify and embrace the conflicting interests based on time-based tensions. Meanwhile, this article provides an empirical contribution to affect the top management's environmental practice.

LITERATURE REVIEW

Business Sustainability

Sustainable development requires businesses to meet present demands without compromising the ability of future generations to meet their own needs (WCED, 1987). In this concept, business sustainability has three isolated yet inextricably interdependent objectives: environmental integrity, economic prosperity, and social equity (Bansal, 2002; 2005). In terms of different dimensions of goals, businesses' ecological practices face inherently tensions between economic development and material consumption. On the one hand, companies emphasize short-term financial markets to protect shareholders' immediately interests, which is economic logic-driven (David et al., 2001). On the other hand, given the complex nature of GSC, the societal and environmental objectives of business sustainability tend to represent a long-term nature (Graves & Waddock, 1994). It means these two objectives require societal logic-driven to view and solve related issues. As a result, economic and societal logics are incommensurate via time lens, so business sustainability objectives are hard to compare with a standard metric (Espeland & Stevens, 1998; Wright & Nyberg, 2017).

In responding to the three objectives of business sustainability simultaneously, firms have to manage their short-term financial performance and long-term societal needs (Slawinski & Bansal, 2015). Understanding the relationship between business and society performance presents two standpoints in business sustainability: trade-offs and win-win (Kaplan, 2008; George et al., 2016).

Firstly, the trade-offs approach highlights the contradiction of tensions between three business sustainability objectives based on economic and societal logic differences. The underlying assumption of trade-offs is that growth in the interest of one stakeholder usually come at a reduction in the interest of others. From the business strategy perspective, although various external and internal pressures influence environmental and societal objectives, they are not critical concerns of organisations (Reid & Toffel, 2009). Companies expect to get financial benefits when addressing social and environmental concerns (Howard-Grenville, 2006; Schreck,

2011; Hahn, Figge, Pinkse, & Preuss, 2018). If environmental practices cannot guarantee short-term profitability, businesses' conduct will regress toward market priorities over time through the normalising process (Howard-Grenville, 2006). Therefore, the trade-offs approach highlights the contradicting tensions of economic logic and social logic and emphasises short-term financial objectives.

Secondly, a win-win approach for achieving business sustainability objectives highlights the complementarity of tensions via time lens, resulting from the long-term across-sector cooperation. Companies can view business sustainability as an opportunity created by the environmental influence of business activities and societal pressures for sustainable business practices (Doh et al., 2019). The value frame is made through interactions and negotiations among multiple stakeholders (Selsky & Parker, 2005). It is necessary to contribute a shared understanding of the environmental and economic debates and possible solutions (Conklin, 2006). For example, under external or/and internal pressure, businesses invest in ecologically responsible products to reduce environmental impacts, increasing competitive business performance from a long-time view (York & Venkataraman, 2010). In short, the win-win strategy focuses on the complementarity of tensions of time lens under three objectives of business sustainability, aiming to achieve long-term economic and environmental success.

Temporal Tensions

Trade-offs and win-win approaches have distinct focuses on characteristics of tensions via time horizon. Time implies how far into the future a business strategy aims to achieve (Schultz & Hernes, 2013). The reality of resource limitation and the ambition future foreseen (Geraldi, Stjerne, & Oehmen, 2020) create temporal tensions. In a short frame of time, a business strategy is designed as closer to the present. It indicates that businesses concern with a realistic capacity and quicker results. One reason is that companies have to make strategic schemes to ensure periodical business goals and shareholders' self-interest (David et al., 2001). Scholars support those social interests relate to public goods that require a business's long-term management to prevent a *"tragedy of the commons"* (Graves & Waddock, 1994). By comparison, a long-time horizon strategic scheme requires ambitions vision and long-time impacts because it needs the

foreseen changed far into the future. Consequently, temporal tensions arise because of the long-term effects but constraints of short-term possibilities.

Given the principles of business sustainability, the consideration of temporal tensions implies objectives to satisfy economic, environmental, and societal demands under natural resource constraints over time. If companies ignore the long-term effects, it may result in temporal myopia; if firms ignore the short-term compromises, it can decrease firms' short-term adaptability (Nadkarni, Chen, & Chen, 2016; Geraldi et al., 2020). To accept temporal tensions, researchers propose that visionary companies should attend to both short-term and long-term strategies "*at the same time, all the time*" (Collins & Porras, 1994).

Intertemporal Tensions

Through understanding temporal tensions in organizations, we realize that it is helpful to explore intertemporal tensions to understand business sustainability. The study of intertemporal tensions relates to considering short-term business interests and long-term societal needs and related to the integration and exploration of them (Slawinski & Bansal, 2015). From intertemporal tensions viewpoints, short-term business interests and long-term societal needs are interrelated. A company's achievement depends on its long-term societal and environmental health (Slawinski & Bansal, 2015), which emphases economic development in short-term orientations while human survival on the earth is the long-term horizon (Shrivastava & Kennelly, 2013). Plus, the three objectives of business sustainability require considering both present development impacts and the consequence of the future (Elkington, 1998; Byggeth & Hochschorner, 2006; Bansal & DesJardine, 2014). The intertemporal trade-off approaches highlight the risks of short-termism and, thus, enables business sustainability (Bansal & DesJardine, 2014; Flammer & Bansal, 2017).

Paradox lens on Business Sustainability

The intertemporal tensions revealing paradox theory is an essential theoretical lens to conceptualise business sustainability. Paradoxes point out an alternative path for mapping tensions under business sustainability (Smith & Lewis, 2011; Hahn, Preuss, Pinkse, & Figge, 2014; 2015; Slawinski & Bansal, 2015). Under the paradox lens of business sustainability,

tensions within organisations' conflicting and interconnected objectives are economic, environmental, and societal concerns. Paradoxes are conflicting yet interdependent and persist over time. They require strategies for engaging tensions (Smith & Lewis, 2011). The processes of creating integration and differentiation are combined to produce paradoxical tensions (Raisch, Birkinshaw, Probst, & Tushman, 2009; Smith & Lewis, 2011). Paradoxes provide a "both-and" approach that allows businesses sustainability to accommodate competing tensions simultaneously (Lewis, 2000; Gibson & Birkinshaw, 2004; Raisch et al., 2009; Smith & Lewis, 2011; Hahn et al., 2014).

In other words, businesses would accept competing yet interrelated economic, environmental, and social concerns that inherently operate at different temporal scales (see Figure 1). Although conflicting tensions may cause additional attention on business short-term performance, the paradox lens highlights that long-term business sustainability requires a continuous contribution of multiple stakeholders to meet various objectives (Cameron, 1986; Lewis, 2000; Smith & Lewis, 2011). The paradox theory provides more substantive commercial contributions to business sustainability because it focuses on both those which offer current business benefits and drive-by long-term moral initiatives (Hahn et al., 2016).

Researchers investigated four types of paradox: performing paradox, belonging paradox, learning paradox, and organising paradox (Lewis, 2000; Smith & Lewis, 2011, Hahn et al., 2018). The performing tensions play an important role in attending to multiple objectives of business sustainability simultaneously in a balanced way (Hahn et al., 2018). They arise from divergently conflicting objectives in the face of the multiplicity of stakeholder requirements (Smith & Lewis, 2011). In the discussion of business sustainability, the performing paradox plays an important role in achieving the three criteria of business sustainability.

The learning tensions emerge from the process of innovation when the interaction happens between existing and new activities. Performing and learning tensions come from building capabilities for the future and ensuring success in the present (Andriopoulos & Lewis, 2009; Van Der Vegt & Bunderson, 2005). The organizing tensions emerge from the structure of firms, such as direction and empowerment (Lewis, 2000). Tensions between performing and organizing

paradoxes come from the interaction between process and outcome, referring to conflicts between high commitment and high performance in business sustainability. The belonging tensions are caused by individual and collective identities (Lewis, 2000). Thus, the tensions of performing and belonging paradoxes emerge from objective conflict when business negotiates unique individual identities with social needs.

METHODOLOGY

This article applies content analysis, including manifest and latent content analyses, to study 31 pieces out of 74 public news of the Australian energy industry. The manifest content analysis identifies the importance of the relationship between long-term and short-term strategies by calculating key statements' occurrences (Potter & Levine-Donnerstein, 1999). The latent content analysis is widely used in social and environmental responsibility research (Huff, 1990; Jauch, Osborn, & Martin, 1980). In this paper, we used content analysis to systemically interpret the hidden tensions within the text (Gray, Kouhy, & Lavers, 1995).

In the data collection process, we selected Australian energy industries that take environmental practices in responding to climate change as the analysis object because the energy industry is the primary breadwinner in Australia. It also plays a vital role in affecting people's opinions and attitudes towards climate change (Zheng & Bhatt, 2021). We systematically extracted 74 public news of Australian energy industries from the Factiva database. While only 31 pieces out of 74 are finally selected via the systematic data collection process (see Figure 2). The 31 non-academic sources contain information on intertemporal tension or temporal information, while the remaining climate change articles lacked the evidence that we needed to categorise.

To analyse the 31 non-academic resources, we applied three-level coding with identifying sentences as coding units (see Figure 3). At the first-order coding, we extracted key contents that contained climate change-related concepts, such as climate change-related policies, scientific research on climate change and business model changes based on climate change policy (See

Table 1). We categorised the news based on the related topics into second-order themes, describing different action or plans' topics taken by related stakeholders. Finally, we labelled 3 aggregate dimensions of long-term or short-term orientations. We then counted the frequencies of the aggregate dimensions in the contents (Table 2) to assess the roles of these different dimensions in response to climate change.

To categorise the data into long-term or short-term focused, we built up several rules by combining the long-term and short-term features from the literature review and the characteristics of the data we used. In our analysis, action or strategy are engaged with cooperation without a time frame or in a short time frame. The short-term orientations are more likely to pay attention to the short-term profitability (Howard-Grenville, 2006) and assess the action and plan from the trade-off perspective (Clarke & MacDonald, 2019). By comparison, the long-term orientations pay attention to the consequence of the impact for the future (Bansal & DesJardine, 2014), which is more likely to assess the strategy and investment from a win-win perspective (Doh et al., 2019). Strategies or investments with a timeframe or long-term commitment were coded into the long-term categories in the data.

FINDINGS

Through the above data analysis, we investigated five forms of intertemporal tensions and six different tensions affecting the plan of action of various stakeholders. The frequencies of the aggregate dimensions show the importance of intertemporal tensions and tensions between business with related stakeholders (Table 2).

Long-term and short-term approaches and business sustainability

The long-term components include climate change-related research, government's plan, business investments, technological developments, and environmental justice development. While the short-term business model transition is the only aggregate dimension that focuses on the short-term perspective. Long-term technological development and long-term business investments have a higher frequency than other aggregate dimensions among the long-term

approaches. In the long-term technological development dimension, we found that the investment in upgraded technologies is a strategy that companies aim at pursuing sustainable business. By comparison, the short-term business model transition is opposing to long-term approaches, which emphasizes the current action of companies under the policy changes or industry requirements. Businesses gained supports to deal with climate change by changing or transforming their production process. The presented resources constrain business model transition and future foresees (Schultz & Hernes, 2013) that could affect more business sustainability.

Intertemporal tensions and business sustainability

Our analysis shows five aggregate dimensions of intertemporal tensions between long-term focus and short-term orientations in climate change literature. The intertemporal tensions are generated from long-term and short-term cooperative action, long-term and short-term governments' plans, long-term and short-term companies' plans, long-term and short-term governmental investment, and long-term and short-term cooperative action of social and corporate governance.

The long-term and short-term cooperative action dominated intertemporal tensions from the different time-based cooperation focuses among multiple stakeholders. These stakeholders are different levels of governments, councils, and communities; and their policymaking and data analysis based on the business's environmental practices. Their collaboration would also be affected their power and authority when they make climate change policies. Secondly, the aggregate dimensions: intertemporal tensions of governments' plans, the intertemporal tensions of companies' plans, and the intertemporal tensions of governmental investment, have the same frequency. It is in line with prior studies of business sustainability, such as the three objectives of business sustainability (Bansal, 2002; 2005).

Overall, the above results are consistent with the previous literature, in which tensions and intertemporal tensions could perform differently. And business sustainability requires both long-term and short-term plans and actions (Slawinski & Bansal, 2015).

DISCUSSION & CONCLUSION

Our research found several time-based patterns that stakeholders of the Australian energy industry have developed in coping with climate change. Firstly, intertemporal tensions are realised in business sustainability through both-and approaches rather than only focus on one side approaches. A long-term plan can achieve business sustainability, such as long-term technological development, long-term government plans, long-term environmental justice development. These long-term strategies highlight the positive impact on business sustainability, focusing on the long-term economic, environmental, and societal success. However, the interesting finding is that these approaches are too vague and hard to obtain at the "present" stage of the business. Companies may face difficulties accepting the performing and learning and organising tensions (See cycle 1 in Figure 1). For example, it is hard to discover how companies can build capabilities for the future and ensure success in the present to achieve high commitment in long-term objectives and high performance in short-term business strategy (Andriopoulos & Lewis, 2009).

Furthermore, another interesting finding has verified the feasibility of paradoxical lens of business sustainability via across-sector cooperation (See cycle [2 or 3: unbalancing both-and approaches] or [4: a balancing both-and approach] in Figure 1). For example, one of the aggregate dimensions, long-term and short-term cooperative social and corporate governance, generates tensions by different time-based focuses of both government and companies. Tensions are accepted by an increasing number of Australian energy companies. They adopted the Environmental, Social and Corporate Governance (ESG) criteria into the investment decision making process. Companies that adopt these criteria acknowledged that climate change might affect the performance of investment portfolios to varying degrees among companies, sectors, regions because of regulatory change and physical and social impacts of climate change (Ketchell, 2013). This finding acknowledges the interrelation of elements of business sustainability, which requires businesses to pay attention to the both-and time-based approaches.

Based on the above finding, an interesting point is revealed that is the acceptability of imbalanced strength of two sides when business sustainability accepts tensions with both-and approaches (See cycle 2 or 4 in Figure 1). The finding is that companies sometimes mainly

concentrate on one time-based orientation and take another to cope with climate change by decreasing the instability of temporal tensions. For example, companies that highlight the short-term logic invest in long-term strategy and the short-term business model transition. This strategy can ensure the adaptiveness of environmental and societal objectives of business sustainability (Nadkarni, Chen, & Chen, 2016) and current business interests (Graves & Waddock, 1994).

Finally, our finding revealed the complex nature of the paradox lens of business sustainability. Intertemporal tensions could be generated by different forms of long-term and short-term focused combinations, as Table 2 shows. Various stakeholders' long-term and short-term plans or actions would negatively and/or positively affect achieving sustainable business. For example, long-term and short-term companies' plans, and long-term and short-term governmental investments can generate intertemporal tensions of energy companies and governments. Companies' conservative attitudes on climate change plans may lead to the disequilibrium of tensions by adverse effects. By comparison, each stakeholder (e.g., government, companies, communities, or NGOs) can generate internal intertemporal tensions which affect the time horizon of decisions on plans and actions.

This article contributes to the organisational management literature in business sustainability and paradox theory based on the time frame. It provides a paradox lens to understand how companies in the leading position respond to business sustainability. Additionally, we extended the paradox theory by identifying a) different forms of intertemporal tensions and temporal tensions responding to business sustainability; b) the acceptability of imbalanced strength of two sides in both-and approaches; c) the complex nature of paradox theory which enables tensions generated within on stakeholder (entity) and between stakeholders (entities). Lastly, this article provides implications to high-level managerial choices decisions on environmental practice.

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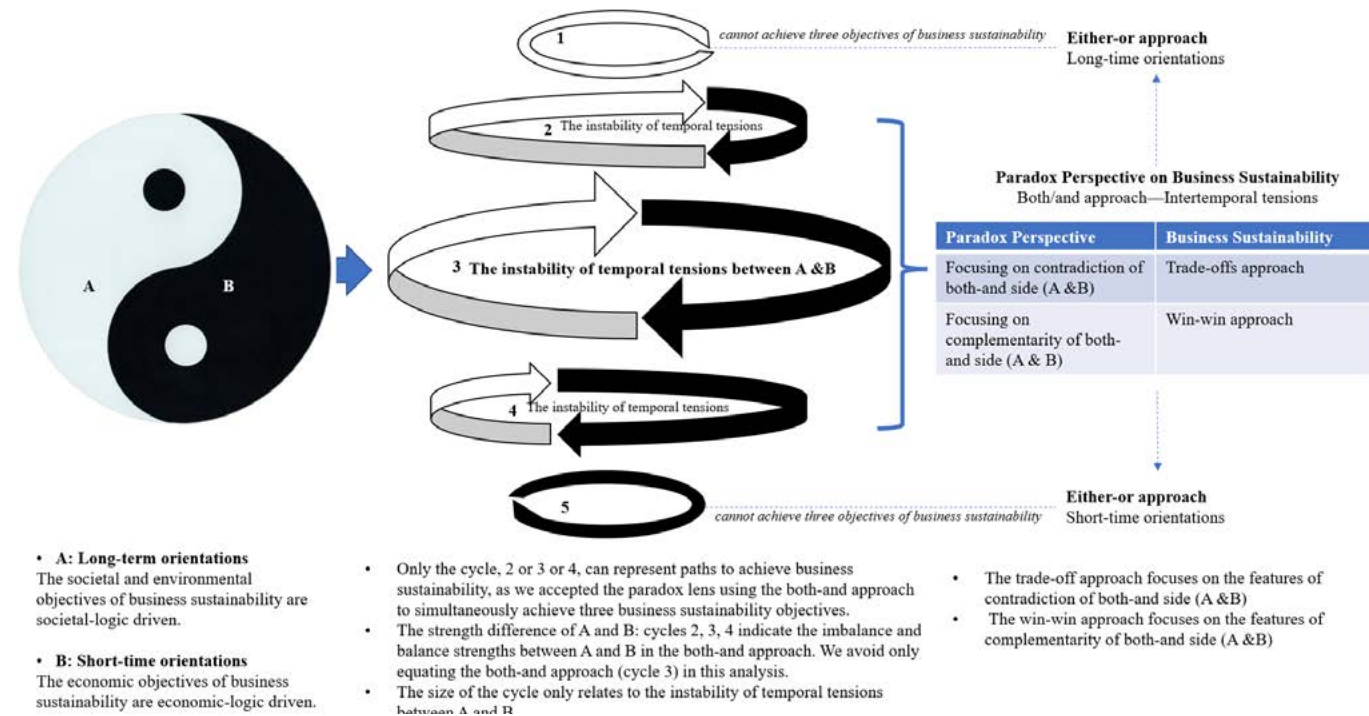
APPENDIX

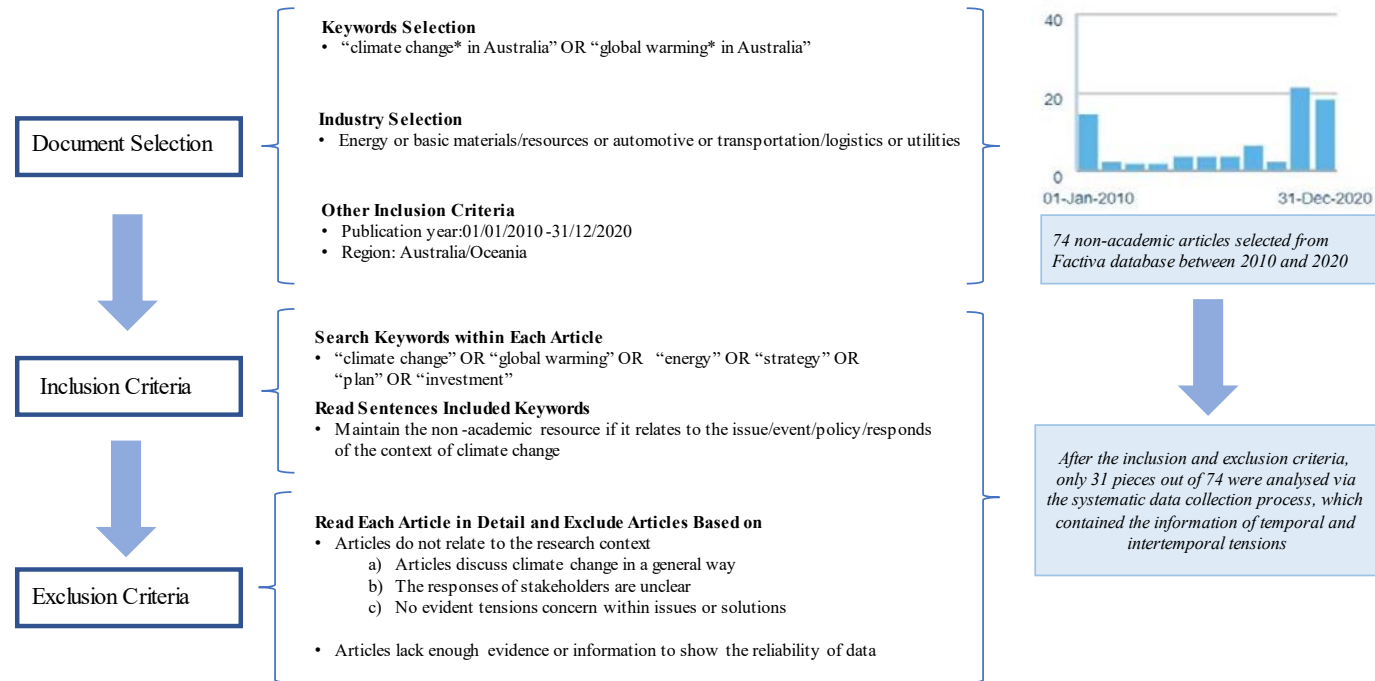*Figure 1: Theoretical model of paradox lens on business sustainability*
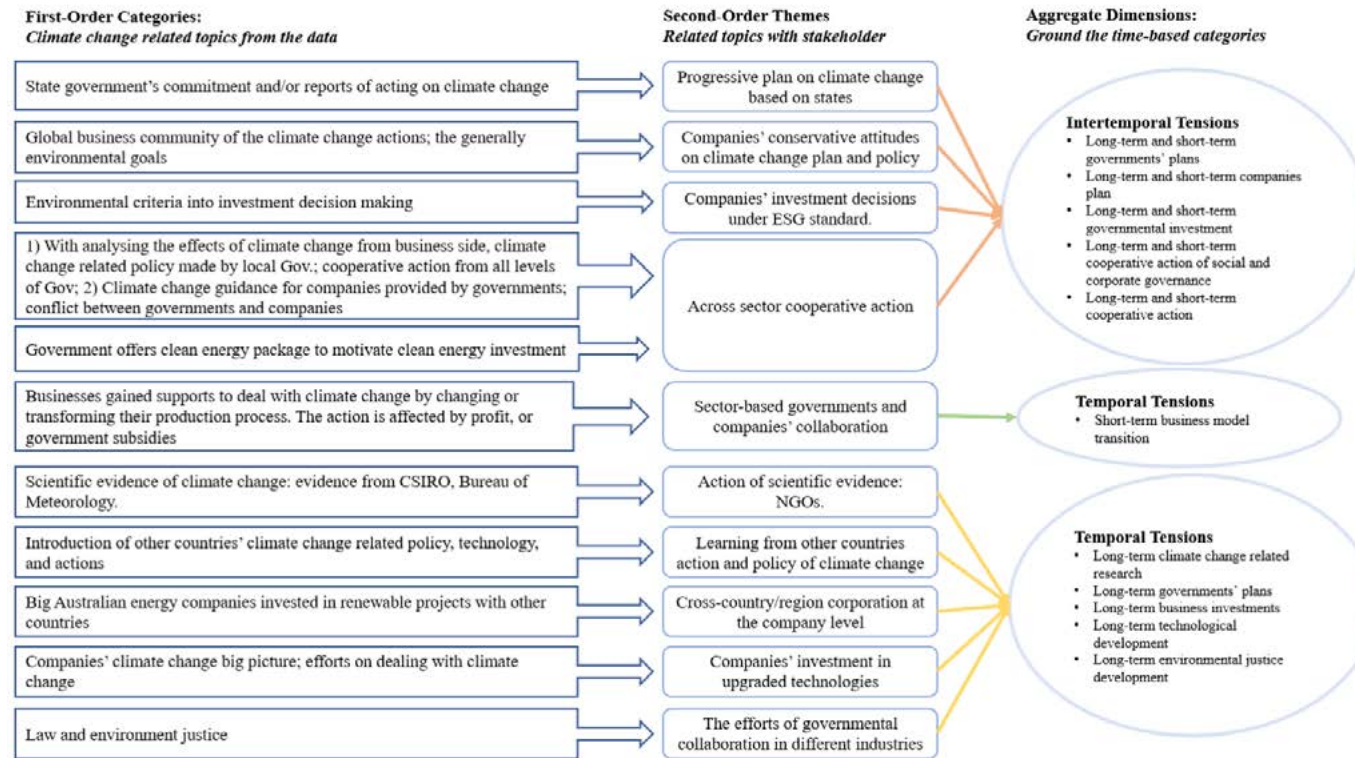
Figure 2: The process of data collection

First-Order Categories:
Climate change related topics from the data

Second-Order Themes
Related topics with stakeholder

Aggregate Dimensions:
Ground the time-based categories

First-Order Categories	Second-Order Themes
State government's commitment and/or reports of acting on climate change	Progressive plan on climate change based on states
Global business community of the climate change actions; the generally environmental goals	Companies' conservative attitudes on climate change plan and policy
Environmental criteria into investment decision making	Companies' investment decisions under ESG standard.
1) With analysing the effects of climate change from business side, climate change related policy made by local Gov.; cooperative action from all levels of Gov; 2) Climate change guidance for companies provided by governments; conflict between governments and companies	Across sector cooperative action
Government offers clean energy package to motivate clean energy investment	
Businesses gained supports to deal with climate change by changing or transforming their production process. The action is affected by profit, or government subsidies	Sector-based governments and companies' collaboration
Scientific evidence of climate change: evidence from CSIRO, Bureau of Meteorology.	Action of scientific evidence: NGOs.
Introduction of other countries' climate change related policy, technology, and actions	Learning from other countries action and policy of climate change
Big Australian energy companies invested in renewable projects with other countries	Cross-country/region corporation at the company level
Companies' climate change big picture; efforts on dealing with climate change	Companies' investment in upgraded technologies
Law and environment justice	The efforts of governmental collaboration in different industries

Intertemporal Tensions
- Long-term and short-term governments' plans
- Long-term and short-term companies plan
- Long-term and short-term governmental investment
- Long-term and short-term cooperative action of social and corporate governance
- Long-term and short-term cooperative action

Temporal Tensions
- Short-term business model transition

Temporal Tensions
- Long-term climate change related research
- Long-term governments' plans
- Long-term business investments
- Long-term technological development
- Long-term environmental justice development

Figure 3: The process of three level coding

Table 1 The sources of open coding

First-Order Categories: Climate change related topics from the data	**Long-term or short-term evidence from raw data**
Climate change related policy making by local government; cooperative action from all levels of government; analysing the effects of climate change from business side; Climate change guidance for companies provided by governments; Conflict between governments and companies	- Engage with different stakeholders: government, local councils, politicians, communities: E.g.: determine how our communities cope in the future as the effects of climate change become more acute. Policy: The Carbon Pollution Reduction Scheme to reduce pollution[1]. - The Climate Council estimates those mines could lead to an additional 705 million tons of carbon dioxide emitted per year when the coal is burnt[1]. - State and Federal politicians and recently sent its final submission to the Chief Scientist of NSW who is assessing the sustainability of groundwater extraction in the Northern Rivers[2]. - An Australian arm was established in 1974 and helped lead opposition to attempts to expand uranium mining in the 1980s. Other causes include fighting nanotechnology and industrial chemicals[3]. - It also found the Australian Chamber of Commerce and Industry (ACCI), and the Business Council of Australia (BCA) have worked to stall action on climate change in Australia[4]. Private companies like Energy Australia, Integral Energy and Country Energy expressed that the state governments are reluctant to provide guidance. E.g.: Australian power market after disagreements with the federal government over proposed reform to cut the country's carbon emissions[5].
Scientific evidence of climate change: evidence from CSIRO, Bureau of Meteorology.	Scientific knowledge of greenhouse gas emissions, energy efficiency[6].
State government's commitment of acting on climate change	- The level of nation action: 2010-2014 and 2020 Plan: by 2014 Victoria will have made significant progress on reductions and will be in a position to make even greater changes to achieve the 20% goal by 2020[7]. - Damage and contamination of the NT's natural environment from petroleum extraction present significant risks to Territorians[8].
Introduction of other countries' climate change related policy, technology, and actions	- Introduction of a cap-and-trade emissions scheme--a market-based trading system similar to one in Europe that caps the amount of carbon dioxide that companies[9]. - In reviewing the climate change policies of Australia, Germany, China and India, the report says the federal government's carbon price would provide investors with "real confidence" in investing in clean energy projects[5]. - Carbon capture and storage techniques could remove 1.5 times annual current emissions from all Australian cars by 2050[10]. - Government about to announce its post-2020 emissions target, debate is certain to be enlivened around Shorten's ambit pledge of 50 per cent renewables by 2030[11].

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1 26th May 2019 [the Sydney morning herald] What's next for the Adani mine?
2 18th Sept 2019 Objections to water mining
3 26th Sept 2019 How activists pushed CBA out of coal
4 24th September 2020 Forget the lobbying. It's the spin that wins on climate, report finds
5 2010 28th Sept [Dow Jones Newswires] Medium-term plan to IPO TRUenergy Unit in Australia
6 June Sppech By Australian Minister For Environment Garrett
7 2010 Brumby lays down gauntlet on carbon
8 17th July 2016 ROSALIE SCHULTZ: We need a government with the strong capacity to monitor oil and gas development
9 6 October 2010 Wesfarmers Chairman Backs Carbon Tax; Urges Caution on Timing
10 16th April 2014 Carbon technology may save $60bn, says report
11 27th July 2015 Pressure on Australia over emissions targets

	- Failure to comply with the Paris Accord and keep global warming well below two degrees is forecast to cost each Australian household $14,000 a year in the long term and polling consistently shows taking action on climate change is a key issue for Australian voters[12]. - We have no coherent energy policy and no serious policy to address climate change[13].
Global business community of the climate change actions; the generally environmental goals	- Companies supported on the idea of a carbon tax but wanted Australia to wait for other countries to introduce a levy first[14]. - A strong response from the international corporate sector is needed if the goal of limiting the global rise in average temperatures to no more than two degrees is to be met[15].
Big Australian energy companies invested in renewable projects with other countries	- Big company invested in projects like renewable energy, corporation with Chinese companies which are the pioneer in China. Wind turbines, solar grade silicon, solar PV, solar thin film, and thermal equipment[16]. - By 2050, future climates of some important plantation regions are expected to match climates currently present in different regions[17]. - Proposed as one of the largest new coal mines in the world, the Adani (or 'Carmichael') mine has become a flashpoint between two broad coalitions-the pro-mine coalition, consisting of governments, elements of the media, and mining interests, and the anti-mine coalition, consisting of community groups, environmental non-government organisations, activists, Indigenous communities, and farmers[18]. - We are one of the first resource companies in the world to set targets for Scope 1 and 2 emissions. And last year, we established a $400 million program to invest in low emissions technologies[19].
Businesses gained supports to deal with climate change by changing or transforming their production process. The action is affected by profit, or government subsidies	- These trends are supported by government incentives and households wanting to secure their future energy costs, at a time in Australia when energy prices are expected to double over the next few years[20]. - In Australia this week, the $8 billion Local Government Super Fund announced it would divest $25 million of shares in companies that generate more than one-third of their income from "high carbon sensitive" activities[21]. - A big part of this response needs to be transforming the energy sector, the principal contributor to global warming in Australia and many other developed countries[22]. - A sector-based carbon pricing scheme — or emissions intensity trading scheme[23]. - Australia's largest coal producer, Glencore, will abandon the pursuit of large coal acquisitions and freeze production at current levels to help address climate change concerns[24].
Companies' climate change big picture and efforts on dealing with climate change	- Green earth Energy is in line with Alcoa's 'big picture' response to climate change[25]. -We have enabled the establishment of critical energy infrastructure and co-generation facilities[26]. - Technologies which suck carbon from the atmosphere will be a vital part of tackling climate change in Australia, according to a new report[27]. - Being technology agnostic on Australia's energy future allows for some big-picture thinking[28].

12 24th April 2019 MIL-OSI NGOs: Climate election calls for leadership, not fearmongering
13 13th Sept 2019 MIL-Evening Report: Nuclear power should be allowed in Australia – but only with a carbon price
14 6 Oct 2010 Wesfarmers chairman supports a carbon tax in Australia
15 13th December 2017 Planet's top 100 polluting companies put on notice
16 26th Oct 2010 CBD ENERGY LIMITED; Annual Report / Notice of AGM and Proxy Form
17 3rd Sept 2015 INDUSTRY SNAPSHOTS; OCEANIA - AUSTRALIA - BIOTECHNOLOGY
18 18th Nov 2019 Climate Change; New Climate Change Study Findings Reported from Royal Melbourne Institute of Technology University
19 14th Oct 2020 BHP Group Ltd Annual Shareholders Meeting
20 26th Oct 2010 CBD ENERGY LIMITED; Annual Report / Notice of AGM and Proxy Form (P162)
21 8th Oct 2014 China coal consumption down 23% as more funds dump fossil fuels
22 8th May 2016 Rapid transition to clean energy will take massive social change
23 9th December 2016 Grim climate of uncertainty
24 21 Feb 2019 Glencore to cap coal as pressure rises
25 15th Nov 2010 GREENEARTH ENERGY LIMITED; Alcoa and Greenearth Energy Sign Memorandum (memo) of Intent
26 15th Nov 2010 Greenearth, Alcoa plan renewable energy collaboration
27 16th April 2014 Carbon technology may save $60bn, says report
28 24th June 2017 Nation of abundant resources, so why is energy future dim?

	- Renewables are not yet able to meet demand for power Australia, like the rest of the world, needs to transition to a lower carbon energy system[29].
Government offers clean energy package to motivate clean energy investment	- The federal government's clean energy package is among the best in the world for encouraging investment in renewable energy, says a report prepared for international investors[30]. -The Paris Agreement and 2030 targets for reducing greenhouse gas emissions, carbon tax, costly to transform the energy policy, complexity of the task[31].
Law and environment justice	Climate change related: Australian Government law needs to include "equitable distribution of environmental risk", environmental justice[32].
Companies applied criteria into investment decision making	A set of standard Environmental, social, and corporate governance (ESG) criteria into investment decision making process for several years[33].

29 17th June 2019 Reality check for coal debate
30 20th Oct 2011 Clean plan cuts it for investors
31 16th Oct 2019 Genuine climate crisis needs all hands-on deck
32 5th Sept 2012 What's News in Property & Projects - 21 August 2012: Part 2
33 19 Dec 2013 Daly and Dunlop pave way for new era of shareholder activism

Table 2 Aggregate dimensions and total frequencies

Aggregate Dimensions	Total
Aggregate dimensions that include both long-term and short-term components	
Long-term and short-term cooperative action	6
Long-term and short-term governments' plans	2
Long-term and short-term companies' plans	2
Long-term and short-term governmental investment	2
Long-term and short-term cooperative action of social and corporate governance	1
Aggregate dimensions that include long-term components	
Long-term climate change related research	1
Long-term governments' plans	2
Long-term business investments	4
Long-term technological development	5
Long-term environmental justice development	1
Aggregate dimensions that include short-term components	
Short-term business model transition	5

109

Effectively engaging stakeholders in large scale projects is important for both sustainable and robust decision-making outcomes (through procedural rationality) as well as support (attending to procedural justice). However, alongside the many benefits there are many challenges facing those seeking to engage stakeholders. This paper reflects on a project focused on understanding the value of manmade marine infrastructure. Alongside other methods, the researchers sought to develop a process that enabled a deep systemic understanding to be acquired by participants, one that reduced issues such as conformity pressures and one that provide policy makers with insights into the heterogeneity/homogeneity of different issues, opportunities, and value. In addition, the approach had to adapt to turbulence in the environment caused by the Covid19 pandemic.

50

There are limited studies in the literature that investigate the role of culture in the relationships between HPWS and employee outcomes in the healthcare sector. Through a three-wave survey, this study investigated 187 healthcare workers across Saudi Arabian hospitals. Our findings reveal that HPWS positively impacts employees' work and career outcomes via thriving at work. Our study also shows that wasta is a boundary condition that buffers the strength of the relationship between HPWS and thriving. This study contributes to the theoretical knowledge of the mechanisms and conditions underlying the influence of HPWS on employees.

99

Saudi Arabia ranks among the lowest for female workforce participation. Although the situation is being addressed through Vision 2030, there are multiple barriers to its realisation. This paper explores how Saudi women exert agency in navigating academic careers. The research is based on interviews with 30 Saudi women academics, 23 of which were combined into a composite narrative, Fatimah's story, to present the data for this paper. Unlike Western foci on women's career development, Fatimah's story highlights the importance of distinguishing between: religion and culture; national and organisational cultures; and the impact of Western experience in reinforcing identity and religion, and the ways in which women take agency to develop their careers in an environment completely alien to the West.

124

Scholarly attention on non-profits is increasing, as researchers recognise the important role of this sector in product and service delivery. However, the literature on tailored strategies of non-profit stakeholder groups remains fragmented. This paper is a systematised review of 40 articles on stakeholder management/engagement in the non-profit setting. It explores the current state of the literature and provides directions for future research. Whilst qualitative methodologies are currently most prominent, the field is developing from exploratory to explanatory studies. Future research might focus on the interaction between multiple stakeholder groups and theories. Finally, further work needs to go beyond the Northern Hemisphere.

155

Using the data from 316 questionnaires with the SMEs owners in Vietnam logistics industry, this empirical study investigated the relationship between entrepreneurial competencies and relationship quality to business success among these firms. In particular, we focus on identifying the behaviours adopted by entrepreneurs to effectively manage their companies in three different groups: entrepreneurial competencies, functional competencies and ethical and social responsibility competencies; while building their relationships to achieve business success. The study finds that there are relationships between ethical and social responsibility competencies with business success and relationship quality. Relationship quality mediates the relationship between entrepreneurial competencies and business success. This has important implications for SMEs owner to be more efficient in utilising the competencies in their business operations.

96

This study seeks to better understand how individual directors define and engage with corporate purpose, and which factors shape such engagement. Drawing on semi-structured interviews with 22 directors who sat on the boards of listed, global corporations in Switzerland, we find that while directors oftentimes share a common understanding of corporate purpose, their engagement with it varies widely, even whilst being a member of the same board. Our findings point to several multi-level contingencies that explain why individual directors differently engage with purpose. Our research supports a growing number of studies that call for a further unpacking of the microdynamics of corporate governance and offers several practical ways in which an individual director's engagement with corporate purpose can be enhanced.

41

This study aims to explore the reality of women directors' selections from their lived experiences in the empirical setting of India and asks: Are the selection processes and criteria women directors go through on Indian boards different from men and discriminatory? We seek to achieve our aim by collecting data from a diverse cohort of 27 corporate board directors and then analysing the data through an interpretative phenomenological approach. Firstly, we find that board recruiters place equal value on resourcefulness and experienced women on boards as men. Secondly, we find that Indian women navigate social and workplace barriers in order to climb the career ladder. Thus, they likely accumulate more human capital (i.e., education, work experience, expertise) when presenting for board roles than men in similar roles. Third, we find that while recruiters pursue experienced women to join their boards, they overlook inexperienced women only. Our paper thus questions the underlying assumptions of discrimination linked to the female gender in matters of women's board appointments. Instead, we posit that amidst growing demands for boards as source of competitive advantage, recruiters value resourceful women directors as much as men with similar resources. The implication here is that some traditional ways of board appointments may have become outdated in an environment where directors' roles are conceptualised as strategic decisions and evaluated primarily in terms of strategic inputs. Future research areas can expand and refine the three layers proposed in this paper to help explain differences in selection approaches at the directors' level.

20

This study seeks to understand whether the selection processes and criteria directors go through on Indian boards have any linkages to recruiters' perceptions about directors' board capital. Using an Interpretative Phenomenological Approach, the aim is to uncover the lived experiences, perspectives, and opinions of directors relating to board appointments. Our analyses show first, three inter-layer boundaries exist among directors in matters of board access. Second, prior experience and profile are the basis of directors' categorisation into the top, middle, or bottom layer. Third, board recruiters use different selection approaches depending upon the layer to which directors belong. Fourth, women directors in the top and middle layers are viewed on par with men in board appointments but not in bottom-layer.

132

Entrepreneurs must navigate uncertainty to launch and sustain new ventures. Uncertainties arise from externalities and internally through changing personal, team and societal expectations. Research into entrepreneurs' decision processes under uncertainty has been helpful, but has generally adopted a kind of economic rationality that may not adequately address the broader scope of uncertainty confronting contemporary entrepreneurial practice. This study adopts an implicit theoretical approach to develop a theory of entrepreneurial wisdom derived from the lived experiences of entrepreneurs nominated as wise and build on nascent research into entrepreneurial wisdom. Preliminary findings highlight an emerging conceptualisation of entrepreneurial wisdom that emphasises the importance of experience, action, deliberation, self-regulation and prosocial contributions over the longer-term through their unique entrepreneurial contexts.

107

As members of the youngest generation, Generation Z (Gen Z) enter the workplace, there is a growing interest in their needs. However, there has been little research investigating the needs of Gen Z early career project management professionals, either in the workplace or in their education-to-work transitions. This paper explores this under-researched topic. Through the collection of 20 semi-structured in-depth interviews with Gen Z early career project managers (ECPMs), this research explores their successful transition from university into the workforce by presenting both university-based initiatives and employer-based initiatives that cater to the work readiness requirements of Gen Z. This research offers evidence-based recommendations to educators and employers to better cater to the needs of Gen Z.

8

There has been little focus on the responsibilities of project-based organisations (PBOs) towards their early career project managers (ECPMPs). The purpose of this paper is to bring this under-researched topic to light. Fifty-seven semi-structured interviews were conducted with key stakeholder groups to ascertain the roles of PBOs in supporting the development of ECPMPs. This research highlights that currently, adequate and consistent support and training of ECPMPs does not occur. This paper advocates for PBOs to be open to engaging in conversation with universities, professional bodies and ECPMPs themselves, for the purposes of supporting the development of ECPMPs in the profession. No research to date has investigated PBOs' responsibilities to ECPMPs in industry; this paper addresses this gap.

22

This paper uses Public Value and Conservation of Resources theories for examining the impact of management decision-making on the stress, wellbeing and work performance of healthcare Street level Bureaucrats (SLBs) during the lockdown periods caused by the COVID 19 pandemic. Structural Equation Modelling is used to analyse survey data from 228 healthcare SLBs in Australia. The findings confirm significant relationships between the extent to which management 'walks their talk' in how they respond to safety issues affecting employees. All but two hypotheses confirmed. The findings provide public sector bureaucracies with a blueprint about how to manage SLBs working under adverse conditions during and post the pandemic.

70

Informed by a family embeddedness perspective, this paper describes qualitative research that explores responsible leadership by family business during times of crisis, such as COVID-19. We found that although there is evidence that the sample organizations we studied implemented economic strategies to stem the decline of their business during the crisis, over time, their turnaround strategies extended beyond these to utilize sources of affective wealth that were both internal and external to the firm in their strategic response to COVID-19.

106

Presenteeism has gained increased academic attention over the past 20 years, evolving beyond simply investigating the productivity of those with chronic health complaints. The COVID-19 pandemic brought the phenomena to the forefront of public discourse in Australia when outbreaks that spread beyond workplaces were attributed to the practice. The reasons people attend work while unwell are as varied as the individuals who partake in the practice, and are influenced by individual, contextual, and organisational factors. In addition to the concerning negative impacts on individuals and organisations, there are significant public health risks. Organisational interventions to reduce presenteeism and associated research should be directed towards initiatives such as improving workplace culture, communication, education, and processes to facilitate coverage of sick workers.

108

COVID-19 forced most universities into delivering much of their content online, leading to complaints about little variety of online classes, poor student experience, and lack of engagement. This paper details the development and implementation of an innovative online technology-enhanced learning activity designed to improve student engagement. Commercial escape rooms have been growing in popularity, with many educators now applying the escape game structure in the classroom. This paper is the first to outline the process of creating and running an online escape room in management education. Preliminary findings from student focus groups and teachers' reflections suggest that the activity is highly engaging and useful for revision and skill development, but may not be ideal for developing new knowledge.

119

Australia's aged sector is in crisis, due to both increasing demand and workforce challenges such as indirect employment, poor pay and conditions, and high workloads. However, the sector is often discussed in homogeneous terms, with little attention to the complexity across public, private and not-for-profit service providers. Our research aim is to investigate differences in HRM models across different providers, and how these support or hinder staff attraction and retention. The first step is a thorough understanding of the little-documented nature of service providers. Utilizing secondary data available through government datasets, the paper provides a comprehensive picture of service providers across Australia. The paper concludes with reflections on how this institutional complexity affects our research design and research questions.

81

The Financial Services Industry in Australia is going through sweeping changes. These changes have come about against the backdrop of an all-time high trust deficit in financial professionals and institutions. This work-in-progress paper adopts draws on social capital, social contract, and social responsibility perspectives in order to examine the question: To what extent Higher Education Providers can bridge the trust deficit that consumers have with Financial Advisers and Planners? The contributions of this work-in-progress paper are two-fold: a) it highlights the proactive industry-wide measures to address the issue of trust deficit in a changing operating environment, and b) it demonstrates that the analysis of current policy developments and industry initiatives can generate useful insights for the Higher Education Providers.

95

Implementation of lean six sigma (LSS) in public sector is challenging. Academic literature on LSS is skewed towards private sector and a need for further research in the public sector exists. Therefore, this research project was undertaken to systemically analyse the complex factors affecting the implementation of LSS in New Zealand public sector organisations that can help in designing strategic interventions. This article reports the first phase of this study that focussed on the identification of critical success factors. The critical success factors identified include top management support, middle management involvement, existence of a project champion, commitment to the indigenous community, pace of project planning and execution, efficient communication, supportive organisational culture, project selection, sufficient resources, and effective stakeholder management.

59

The steep economic growth due to industrialization to achieve economic benefits has resulted in negative environmental and social consequences. Such practices are not considered sustainable in the long run, and thus United Nations Sustainability Goals-2030 was adopted the global body. To attain these goals, various conventional government policies have been challenged and changed, which also has significant influences on corporate/business-specific decisions. Hence, the need to adopt Sustainable Human Resource Management Practices so that appropriate human resource interventions can be articulated to encourage organization-team-employee to adopt and think about adopting sustainability practices for a better world. The present study attempts to synthesize the existing sustainable human resource management literature to understand the current state and identify research gaps.

28

The current study examines the relationship between living a calling and work outcomes among a diverse group of employed adults in India (N_204). We hypothesize that living a calling is related to work engagement and contextual performance. We predict that this relation is mediated by thriving at work and moderated by proactive personality. The relations with the outcomes are hypothesized to be robust for those with a strong sense of learning and vitality, and proactiveness at work. We employed the socially embedded model of thriving to substantiate our arguments supporting the hypothetical model, conceptualizing the mediating role of thriving at work. Appropriate scales were used to collect responses from the participants. Preliminary findings are reported.

26

The current study examines the relationship between perceiving a calling and living a calling among a diverse group of employed adults in India (N_204). We hypothesize that presence of calling is related to living a calling with person-environment and work meaning mediating the relationship and need satisfaction moderating it. We predict degree of self-determination (autonomy, competence, and relatedness) moderate the relations of presence of calling with the person-environment fit and that these relations are strong for those with a robust sense of self-determination. Additionally, we intend to run a moderated, multiple mediator model to examine the mediating role of person-environment fit and work meaning in the relation of presence of calling and living a calling, while accounting for the moderating role of autonomy, competence, and relatedness. We employed work as calling theory, self-determination theory, and person-environment fit theory to substantiate our arguments in support of the hypothetical model. Appropriate scales were used to collect responses from the participants. Preliminary findings are reported.

25

Does a work orientation shift while transitioning to different roles? This paper examines how meanings of work change while employees transition from paid employment to entrepreneurship. We investigate this shift in meanings of work through a qualitative study of females who transitioned from being full-time employees to entrepreneurs. With the transition, they adopt new roles and identities expressed through "vocabularies of motive", where spoken words are used to describe and justify actions in the past, present, or future. Through interviews, we discover that while at their previous work, females evoke vocabularies of "career" and "job" orientation, emphasizing their rewards were more external. Vocabularies of "search for calling" were expressed as reasons for transition, highlighting the need to quench aspirations for meaning, purpose, and significance at work. Post transition, they identified with "labor of love", "personalization", "prosocial inclinations", and "identification" with their entrepreneurship. These findings demonstrate that the pathways and transitions from full-time employment to entrepreneurship and associated identity may be more internally motivated than externally in search and fulfillment of higher-order needs.

100

The paper argues that opera work is entrepreneurial work. The study draws on two sets of interviews with New Zealand-based opera workers, at a time when a global pandemic restricted live performance. It approaches entrepreneurship through social bricolage, a concept particularly relevant to the arts where resources are often scarce. The research addresses how opera workers make do with what is at hand to make the most of difficult circumstances; exploring different ways of creating work and engaging with their audience. The paper contributes to the entrepreneurship and bricolage literatures by demonstrating the ways in which opera workers use entrepreneurial methods to create opportunities to do the work they have trained for.

105

Empathy is a key dispositional antecedent of organizational citizenship behavior (OCB), but the differential effects of of cognitive and affective empathy and boundary conditions of the empathy-OCB link need exploration. This study examined the mediation effect of affective empathy on the relationship between cognitive empathy and OCB and how the mediation effect is moderated by emotion regulation strategies (i.e., expressive suppression) as a boundary condition. Analyses of survey data from 466 employees shows that cognitive empathy has a positive relationship with OCB via affective empathy and this relationship is weaker for employess who use the expressive suppression strategy. Understanding others' internal states can evoke one's empathic emotion, and in turn enhance OCB; suppressing emotions hinders empathic employees' OCB towards others.

91

Livestreaming influencer (LSI) marketing is becoming an increasingly important promotional and sales approach. This is especially the case in China that is leading the world in developing LSI marketing. Organisational behaviour is an important contributor to LSI success. However, extant research primarily focuses on consumers' behaviours and motivations and little is known about the perspectives and contributions of LSIs and other organisational actors. Drawing on the activity theory framework, 24 LSIs and 10 of their team members working in the Chinese Livestreaming industry were interviewed. The findings reveal LSI marketing success factors, the importance of the interplay among stakeholder relationships, and key tensions within the activity system. Results also contribute to an offline-to-online 'solution' for businesses' COVID-19 recovery.

19

Based on the resource-based theory, this study theoretically proposes and empirically analyzes the mediating effects of business ties in transmitting proactiveness to technological innovations. By decomposing business ties into competitive and cooperative ties and technological innovations into exploratory and exploitative innovations respectively, several hypotheses are built. We test our model using data collected from firms operating in mainland China utilizing structural equation modeling techniques implemented with AMOS and SPSS PROCESS Macro. The findings show that proactiveness contributes to both exploratory and exploitative innovation, and with a larger impact on the former. Competitive ties positively mediate the influence of proactiveness on exploratory innovation, whereas cooperative ties are the missing link from proactiveness to exploitative innovation. Besides, the mediating effect of cooperative ties in the relationship between proactiveness and exploratory innovation is contingent upon firm size.

103

There is a lack of research on the mediational role of employee turnover intention and its effect on the associations among responsible leadership (RL), bank performance, and bank reputation. Applying the social identity theory, five hypotheses were developed and examined using data from 711 full-time Bangladeshi bank employees through a web-based online survey. The findings of the study suggest that RL has (i) significant direct effects on bank performance, reputation, and employee turnover intention, (ii) partial mediational effect on bank performance via turnover intention, and (iii) employee turnover intention has a negative effect on bank performance. This paper suggests that banks seeking higher financial performance and employee retention should encourage RL, which will also help them uphold their corporate reputation.

29

Indigenous peoples around the world share a history of colonization and poverty; loss of land, language and the cultural foundations of their societies and communities. Growing numbers of Indigenous peoples are rebuilding and revitalizing their cultures, through economic endeavor. This paper offers case studies from Australia, Canada and New Zealand, highlighting the finance investment entities and accountability frameworks that have evolved out of this renaissance. We found evidence of commonalities, predicated on the cultural values and traditional knowledge systems of Indigenous peoples in their countries. The literature informs our analyses, coming as it does from our organizations and communities of interest. We found that, despite the social, cultural, and economic differences, the exciting and innovative strategies developed by Indigenous peoples in all three countries are not only similar and relevant to one another, but also relevant to non-Indigenous investment and accountability frameworks, founded on ancient and traditional knowledge models.

118

The hotel industry is a leading contributor to key sustainability issues. The industry is also severely impacted by climate change. Ethical decision-making (EDM) provides a responsible and moral approach for hoteliers to address sustainability challenges considering stakeholder interests. Using data from 25 in-depth interviews of hotel executives from a popular tourist destination, we examine how sustainability issue related moral intensity influenced executives' ethical decision making. The findings reveal that participants with higher levels of ethical awareness were more inclined to project higher moral intensity on sustainability issue related ethical decision making. Using our qualitative findings, we propose hypothesizes for four moral intensity dimensions.

120

Social cohesion is the key for the development of resilient communities. Acknowledging the criticality of social cohesion scholars have suggested the need to understand the role of social enterprises in developing social cohesion and the mechanism behind it. We address the call in the literature by studying five social enterprises in Australia. From the inductive analysis of the cases, we identified four mechanisms that help social enterprises to enhance social cohesion in the communities: bringing community members together by providing common business, mobilizing community members to create enterprise, enabling individuals to integrate with the community and leveraging the cultural elements in the community. Our study makes important contribution to the social cohesion and social entrepreneurship literature.

98

This study explores the relationship between trust and automation implementation and its influence on human perceptions. Two views of automation are prevalent in the literature. The first is hype, which exaggerates the benefits of automation by simplifying job functions through automation. In contrast, the second is fear, which embodies the possibility of task reduction or redundancy. Many of these issues are embedded in people's automation experience and further complicate the process, directly affecting new system implementation. This study reports on a case study of automation in the transportation industry. The findings reveal that trust influences automation implementation, and three social aspects contribute to this phenomena; redeploying, upskilling and reskilling.

101

Foresight is associated with the ability to make decisions now – with future outcomes in mind. For decades foresight in the business literature has been defined as a process involving activities such as scenario planning and strategy formulation. At the individual level, little has been done to explore the role Individual Foresight (IF) plays in the day-to-day activities and decision-making of employees. This research seeks to understand how IF is manifested in organisations. Data from six in-depth qualitative interviews with HRM professionals reveals several contributing factors to IF at the organisational or individual level. Reflection is identified as key to developing IF. A future research agenda exploring opportunities for HRM practices to identify or develop IF is proposed.

34

The continuous and rapidly changing employment environment of today's world has created a need for understanding how an employee's purpose in work modifies their behavioural response when dissatisfied with their employee-organisation relationship. This study addresses that need by exploring employees' behavioural responses to organisational actions using psychological contract (PC) theory and the Exit-Voice-Loyalty-Neglect (EVLN) framework. This study also examines the effect of an employee's sense of work as calling (WAC) on their perception of, affective reaction and behavioural response to nonfulfillment of organisational obligations. By proposing a theoretical model, this study extends the application of PC theory and the EVLN framework by incorporating, sense of WAC as a moderator on the relation between PC breach, PC violation and EVLN behaviours.

58

This papers investigates, maps, and systematizes the knowledge concerning to the topic of handling conflicts in virtual teams. A dataset of 107 relevant papers on the topic was found using the Web of Science Core Collection database, covering a period raging from 2001 to 2019. A bibliometric analysis, consisting in the integration of results from citation, co-citation and bibliographic coupling, was performed to identify the most influential papers. The systematic literature review complemented the bibliometric results by clustering the most influential papers. The results revealed different intellectual structures across the several types of analyses. Despite such differences, 41 papers resulted as the most impactful and provided evidence of the emergence of five thematic clusters: trust, performance, cultural diversity, knowledge management, and team management.

47

According to Australian Bureau of Statistics, small businesses employed 4,770,000 people in Australia in 2017. However, the small business share of private sector employment dropped from 46 percent in 2009 to 44 percent in 2017 and about ten thousand Australian small businesses enter and leave the economy every year. As the largest private sector employment provider, survival of small businesses is important for the Australian economy. A review of small business and entrepreneurship literature found no qualitative case study on Australian small businesses facing decline in recent years. This paper examines the factors influencing the key managers' decision to revive the declining small businesses in Australia and their turnaround success. This study is based on evidences collected from 25 severely troubled small businesses in Australia between 2006 and 2018. Findings reveal that managerial factors such as cognition of decline, extent of personal and professional network, capabilities, motivation and leadership of the key managers and their access to critical resources considerably influence the successful revival of a declining small business in Australia. Moreover, organisational factors such as the composition of the top management team, stakeholder management and firm's breadth, depth, and lifecycle influence the key manager's decision to revive the business and their selection of turnaround responses. Some external factors such as availability of quality support services and government policy may also influence the turnaround responses and revival of declining small businesses in Australia. Implications have been drawn for the entrepreneurs and managers of small businesses in Australia.

48

While it may be useful to have a comprehensive wardrobe given the desire to wear different outfits in a variety of situations, it is possible that there is a point where one can simply have too many clothes. The objective of this research is to improve understanding of how consumers make choices to dispose of and recycle clothing and how SMEs can effectively create value by facilitating clothing recycling instead of relying on notions of passive corporate social responsibility evolving over time. The study uses a sample of 91 female respondents in Australia invited via LinkedIn platform. Regression analysis indicates that 'no longer fits' is the key determinant of a decision to donate to clothing recycling outlets followed by 'wear and tear' and 'out of fashion'. Strategies could be formulated that would incentivise a better flow of quality garments to the recycled clothing outlets and create a stream of customers to the branded fashion suppliers. Results also show that consumers may consider sourcing more of their apparel from recycled clothing outlets if they are guided towards models of shared ownership, fashion libraries or rental options. Small and medium sized enterprises may offer redeemable credits at the point of purchase for higher quality slow fashion garments. Larger retailers may also consider fascilitating clothing swaps in a variety of venues and methods by using smaller regional businesses. This would create a closed loop in a move towards circular economy. Implications have been drawn for the managers of SMEs and clothing retailers.

54

In the era of disruptive business environment, employee voice has become increasingly critical as a colossal reservoir of employee inputs for organisational agility and sustained competitive advantage. While extant literature acknowledges the role of individual dispositions and managers, it discounts the role of relational attributes in voicing to higher-ups. Using interactive qualitative analysis (IQA), a systems perspective, we employed focus group discussions and interviews to develop a framework of relational factors associated with upward voice. Study respondents articulated their voice experiences and discerned pertinent themes: co-worker psychological distance/proximity, peer voice emulation, group composition, among others. Consequently, drawing on these responses, we develop a system influence structure. We present implications for the resulting framework and avenues for future research.

55

The emergence of artificial intelligence (AI) is undoubtedly one of the most prolific progresses in the human history. As we continue to integrate AI technologies into our lives, the questions and issues of AI conduct are becoming ever more pressing. We carry out a comprehensive review of the AI ethics literature to assess the state of the scholarship, identify gaps, and propose assurance of ethical outcomes in the use of AI technologies through professionalism. While ethics literature so far discussed the responsibility domains of the technologies, we ask the question of how to instill ethicality into the actions of AI and its related technologies. We go further than the current literature in illustrating the role of professionalism as a prescription to address ethical issues in developing and utilizing AI for operations. We contend that professionalism on the account of developers and operators of the AI will ensure ethical outcomes in the use of these technologies.

146

While we know that networks are vital for team innovation, it remains relatively poorly understood how the different network forms and structures of innovative teams. Our research intends to fill this gap by examining three distinct teams within the same organisation. Informed by social network theory, we collected data from primary sources and used UCINET on a sample of 21 questionnaires to understand how three innovative teams develop innovative products. Our analysis explores the density, quality, and centrality of the three-team structures and analyses how the structure of the team network influences the degree of innovativeness of the three innovative teams. Our study contributes to the debate about team dynamics and innovation and implications for practice are explored.

110

While the positive link between informal learning and innovation is well-established, there is limited research that guides businesses in how to develop an environment that supports informal learning practices; nor is there a clear understanding of how informal learning leads to innovation. Focusing on the antecedents of innovation within three teams, our research proposes a framework to understand this innovative process better. We apply actor-network theory to examine how informal learning is distributed among human and non-human actors. Based on 27 interviews, our qualitative interpretation shows that innovation can have very different antecedents. Surprisingly, leadership, communication, and motivation did not give the best innovative outcome; low teamwork spirit and high individual performance orientation were the drivers of high innovative teams.

57

A majority-owned subsidiary has two possibly conflicting ownership interests: the majority interest of the parent company and the minority interests of the remaining shareholders. This paper examines ten multinational corporations (MNCs) that have majority-owned subsidiaries listed on stock exchanges in emerging markets to explore how principal-principal conflicts manifest in practice and the mechanisms that can be used to resolve them. The research reveals five situations where principal-principal conflicts commonly arise and compares the ways these are dealt with by different MNCs across different emerging markets. We find that the behaviour of an MNC towards any particular subsidiary can vary widely depending on group strategy, reputational risk, governance frameworks and local legal requirements.

90

Rely on the theory of Work as a calling and Moral disengagement, we argue that when managers make tough decisions during a difficult time, their perceived high calling could execrate their felt guilt as they usually view their jobs more meaningful. We conduct a vignette experiment by describing a difficult decision-making situation under the Covid-19 pandemic. Through randomly assigning 271 respondents into two calling conditions (high vs low), the result showed that people in the high calling condition had a significant higher perceived work meaningfulness. We also found that for those have lower levels of self-efficacy, they are more vulnerable in experiencing guilt when doing necessary evil in the exchange of fulfillment of their callings via perceiving work meaningfulness.

138

Despite the abundance of investigations into the effects of transformational leadership on followers, relatively little is known about its antecedents. Therefore, we developed a dual-level model to explain how followers influence the emergence of transformational leadership. Specifically, we examined how follower group cohesiveness contributes to the emergence of group-focused transformational leadership through promoting leader's leadership self-efficacy. In addition, we examined how an individual follower's proactive behavior and affective commitment to the leader promote the emergence of individual-focused transformational leadership via building leader's cognitive and affective trust in individual followers. We also examined the cross-level effect of leadership self-efficacy's influence on individual-focused transformational leadership. The time-lag design data supported our hypotheses.

112

In this paper and presentation we will report on an empirical research project we are currently undertaking which explores how Indigenous Māori academics experience their universities in Aotearoa New Zealand. The project started in June 2020 and was reported on at the International Indigenous Research Conference in Tāmaki Makaurau (Auckland, New Zealand) in November that year. The ANZAM conference (December 2021) will be an opportunity for us to share the project and to engage management, gender and Indigenous scholars in conversations on theory relevant for explaining the Indigenous faculty-university relationship.

49

We conducted a meta-analysis of authentic leadership using 145 independent samples with 51,204 individuals. The findings reveal strong positive relations between authentic leadership and a host of desirable outcomes, including trust, psychological capital, and work engagement, and negative relations with undesirable outcomes such as turnover, bullying, and burnout. The prevalence of cross-sectional designs (71.0%) and the associated endogeneity issues prevent any reliable inference about causality. Meta-analytic regression of these samples, coded at the country level revealed significant moderation by cultural values. The results presented here suggest that authentic leadership is tapping into a universally desirable set of principles, but the practical translation of these principles into discrete leadership behaviors likely varies between cultural frames of interpretation.

137

This paper draws on an in-depth case study to qualitatively examine post-merger integration (PMI) resilience. PMI processes are important because they trigger stressors and uncertainties for organisations and their employees. Existing research focuses upon the effects of M&A on employee resilience, rather than focusing on the overall implications of resilience on PMI. In contrast, this study draws upon work about both employee and organizational resilience to understand the resources and capabilities needed to better navigate emergent challenges during PMI. Additionally, it integrates aspects of conservation of resources (COR) theory. Data include 25 semi-structured interviews, online observation, and documentary analysis from a large telecommunications merger. We present preliminary findings to inform a conceptualization of PMI-resilience and offer practical suggestions.

82

This study theorised a model to investigate the impact of individual characteristics on employee branding to generate brand image perception by friends. Data was collected from employees of Taiwanese restaurants and their Facebook friends. A total of 187 valid employee questionnaires and 563 valid employees' friends' questionnaires were collected. The study used regressions and bootstrapping to test the research hypotheses. The results show that helping behaviour and immersion on Facebook positively influence Employee Branding which leads to brand image perception by friends. The mediating role of employee branding in building brand image perception is also demonstrated.

145

This paper examines the role and responses of three HR professional bodies to the COVID-19 pandemic during 2020. The research design employed is a comparative case study. The first phase consisted of a desk audit of the activities and responses of three HR professional bodies to the COVID-19 crisis in the UK, Singapore and Australia. This was followed by a set of semi-structured interviews. Key findings point to an agile and sustained response to the crisis and included innovative and resourceful ways to support the HR community to meet the HR challenges the crisis presented. The crisis has acted as a major impetus to accelerating flexible and hybrid work options and ultimately the legitimization of the HR profession.

84

This study offers a comprehensive synthesis of the literature on supply chain collaboration published between 2008 and 2021. After an iterative cycle of relevant search terms, we retrieve a sample of 147 papers from 43 journals. The findings uncover the intellectual structure of the past research on various forms of collaboration, critical barriers and enablers, mediators and moderators, methodological perspectives and underpinning theories of supply chain collaboration. Finally, we discuss the potential avenues for future research in the area. While there have been some partial reviews of supply chain collaboration in the past, this is one of the first comprehensive review to examine how well the corpus of knowledge and trends on the topic has been evolved over time.

102

Despite growing research into employee attribution of corporate social responsibility (CSR), little is known as to why employees respond differently to CSR. Using a time-lagged sample of 317 employees, this study contributes to theory through investigating this and examining the direct link and mechanism in the relationship between CSR attribution and employee outcomes. Study findings reveal that only substantive CSR, defined as real material social practices consistent with social values and expectations, results in jobs satisfaction which is mediated through employees' sense of pride. In contrast, symbolic CSR, which is focused on seeking legitimacy without any substantive changes to core activities, doesn't generate these positive employee outcomes. Practical implications and future research directions are discussed.

76

COVID-19 has drastically altered the economic landscape in which micro, small and medium businesses operate. It is crucial to gain an insight into how businesses have been affected with a particular focus on the concerns identified by business owners for recovery post-COVID-19. Our identifies and examines the impact of COVID-19 on micro, small and medium businesses and the required support for businesses to build and increase business resilience, concentrating on business's supply chain resilience. A survey was distributed to Western Australian micro, small and medium businesses to obtain input data for quantitative analysis to understand the business context and how the prevailing public policy mechanisms to support business are applied and have affected these enterprises.

148

This development paper reports early results of research currently underway into participants' reflections on the impact of Covid-19 on the role of workplace relationships in supporting their engagement. It builds on work undertaken before pandemic restrictions continuing the diary study and interviews exploring interactions with colleagues. It uses Kahn's personal engagement, relational context and workplace relationships and recent research on the impact of Covid-19. Initially the study involved 25 interviews and diary entries from 3 large organisations in UK government and utility sectors and this stage starts with an organisation in the same sector with further participants being recruited. Initial results reinforce the previous stage demonstrating the importance of relationships especially by their physical absence and their role in engagement.

115

The purpose of this article is to examine how the workplace experiences of 'successful' skilled migrants can inform enhancement of organisational diversity management practices. This focus is informed by a recognised research gap regarding the role of organisations in the transition experiences of skilled migrants, and draws on in-depth interviews with a total of 36 managers in Australia who had migrated from countries in the Asia-Pacific region. With prejudice and discrimination unfortunately continuing to be experienced by many migrants, diversity management cannot merely be an espoused organisational policy; clear evidence of understanding and recognition of individual differences (whether ethnicity or other characteristics) must be evident to all employees. The findings provide guidance for organisations to enhance their diversity management practices.

68

A 2019 UN resolution to designate 2021 the International Year of Creative Economy for Sustainable Development stressed the potential contribution of the creative economy to the achievement of the Sustainable Development Goals (SDGs). The SDGs acknowledge that a useful vehicle for action is via partnerships. Building on value co-creation, service-dominant logic and social exchange theory literature, this paper reports on early findings of a project which examines how commercial and nonprofit organisations within the arts and culture sector can frame business relationships through sponsorship strategy within the SDGs. Our examination of the relationship between thirty Australian major performing arts organisations and their major sponsor, illustrated by two cases, demonstrates a potential missed opportunity to frame collaborative relationships via the SDGs.

12

This paper presents a few discussions of artificial intelligence (AI) technologies that apply to the micro-perspective of management research and postulates about integrating AI into the OB research agenda through the perspective of scholars' publishing behaviours. In answering the research question posed, several factors including OB scholars' motivations to publish and growth of AI in organisations are identified as determining the seamless integration of AI-based research into OB scholarship. Furthermore, the role that corporate leaders play in advancing AI in companies is discussed, leading to the formulation that leader ability to reduce employee anxieties will facilitate and promote the growth of AI in companies which will, in turn, motivate OB scholars and their desire to publish AI-based research.

92

This research aims to offer an improved conceptualisation and operationalisation of the internal marketing concept, and to validate the updated new measure. Based on the review and synthesis of previous works, a reflective measurement model is specified and tested using Partial least square structural equation modelling (PLS-SEM).The disjoint two stage approach is used for specifying and estimating internal marketing as a second order construct. The 35-item, seven-dimensional measure that emerged from the purification process was shown to have acceptable reliability estimates, as well as evidence of validity. Furthermore, a test of nomological validity indicates that internal marketing practices are positively related to employees' satisfaction with work and their customer-oriented behaviour. Finally, managerial implications and directions for future research are presented

56

This paper explores the culture-effectiveness relationship in alternative ecotourism organisations based on a case study of World-Wide Opportunities on Organic Farms Australia (WWOOFA), a member-based organisation that is part of the not-for-profit global WWOOF. There exists little research on this relationship, which hinders our understanding of how effective a non-traditional organisational culture can be compared with a traditional organisational culture, and how it can be managed for better outcomes for alternative ecotourism and tourism more generally. This paper aims to understand the complex dynamics of the culture-effectiveness relationship and its nuances between participants in WWOOFA.

6

This paper explores the perceptions of employees on how a specific programme on mindfulness enabled coping at both individual and organisational level. Using a qualitative approach, it draws on semi-structured interviews of employees from organisations in Singapore. Specifically, it examines how a specific application of breathing techniques and meditation centred around the Hindu philosophical teachings on mindfulness enhanced the wellbeing of employees. The findings suggest some positive benefits but also challenges. Managing oneself, being less reactive to problems and more attentive to the present moment were some of the positive outcomes. The challenges include the difficulties of finding time to practice and following through the process of the techniques which were perceived as excessively lengthy. The research adds to the literature on mindfulness, affirming the relevance of the Art of Living mindfulness techniques and wellbeing. In doing so, it confirms and elaborates existing knowledge

64

This inductive research explores the identity work of female leaders within the organisational setting. To provide contrast and to incorporate an intergenerational perspective, participants included millennials and Generation X females. Findings show that a gendered social construction of a leader continues to perpetuate with many agentic, masculine traits being attributed to leaders. As the identity work strategies described in the findings show, a mismatch between the gendered construction of leadership and self-identity is problematic for female leaders seeking identity authenticity. This research contributes to the practice of leadership and talent management by highlighting the necessity of more multifaceted narratives about what a leader is, to provide an authentic path for leadership identity work within a diverse cohort of emerging talent.

43

This paper aims at exploring the transformation from buyer- to producer-driven value chains in the context of the Northern German agri-food ecosystem. Different value chain types in the dairy industry are identified and analyzed regarding their structure and the power distribution among involved actors. Based on a case study, we show that one of the identified types' development is characterized by forward integration and close regional cooperation. Small sustainability-driven agricultural producers are thereby empowered as our illustrative case study elaborates further. We explain this development as resulting from economic uncertainty, the prevailing power imbalance in the traditional value chain, new (digital) possibilities and general trends towards sustainability that have been further pushed by the COVID-19 pandemic.

15

This paper investigates the relationships between I4.0 technologies and TPM practices. A total of 335 managers from manufacturing companies that are implementing both TPM and I4.0 responded to our survey. A set of partial correlation analyses are assessed by controlling for the effect of three contextual variables: (i) socioeconomic context in which the company is located, (ii) company technological intensity, and (iii) company size. Our results show 67 significant and positive pairwise relationships common in all analyses, with Internet of Things and Big Data standing out. This paper uncovers how I4.0 and TMP can integrate suggesting promising approaches to the digitalization of maintenance, which might be effective regardless of the companies' context.

66

Public sector organisations (PSOs) are subject to dynamic turbulence and constant change. A PSO's ability to lead a coherent response to this rapidly changing environment is crucial to ensuring the continuity of public service delivery. The COVID-19 pandemic has highlighted the need for agile leadership strategies to address turbulent events and promote resilience in PSOs. This study utilised focus groups and interview data to examine leadership practices adopted in one large, PSO in Australia, that were implemented to respond to a series of turbulent events. Findings showed the heightened salience of polyvalent knowledge in creating optimal responses. Practical implications are discussed.

114

Despite national and organisational gender equity efforts, female academics continue to be underrepresented at senior classifications. This paper investigates female academic career progression and examines a newly identified 'holding pattern' at a mid-level academic classification, which appears to inhibit female career progression and has thus far been unexplored. Viewed through the lens of role congruity theory this study examined career progression through a novel methodology, Draw, Write, Reflect, giving respondents additional voices to relay their experiences. The findings indicate that female academics' competing role expectations impact on career progression through the avoidance of spill over between the two roles; the expectation that women will prioritise their domestic responsibilities; and the organisational rewarding of the traditional male, and generally role-conforming, career.

94

Organisations are findings ways to promote workplace flourishing as it has a positive impact on employee outcomes. Organisational leadership is a predictor of workplace flourishing. Nonetheless, there is limited literature on the impact of narcissistic leadership on workplace flourishing. After reviewing 67 peer-reviewed journal articles on narcissistic leadership, this paper conceptualises narcissism as a multidimensional construct with three facets and uses the conservation of resources (COR) theory to develop a framework on narcissistic leadership and workplace flourishing. The framework proposes that leaders' agentic and antagonistic narcissism will negatively impact workplace flourishing, while a leader's communal narcissism will positively affect workplace flourishing. The framework also proposes that the employees' emotional exhaustion and psychological capital can mediate and moderate these relationships.

38

This research explores how blockchain can be deployed in supply chains to address the transparency paradox in the digital era by identifying the conditions, challenges, commitments, and consequences of such implementation. Semi structured interviews with supply chain managers were employed as the data collection method using an Australian sample. Attaining transparency through blockchain found to be conditional on important relational and operational conditions, as well as addressing challenges and commitments involved for a successful implementation. Findings led to a practical framework that managers can utilise when making decision on blockchain adoption for supply chain transparency.

88

Performance feedback is a critical element of any organisation's performance management system. Feedback increases employees' awareness of the status of their task performance so that behavioural adjustments can be made. The relationship between feedback and subsequent performance, however, is inconsistent: sometimes feedback has a beneficial effect (via self-improvement mechanisms) and sometimes it has a deleterious effect (via self-protection/ self-enhancement mechanisms), irrespective of whether the feedback valence is positive or negative. We review the performance feedback literature and argue that the mixed effects might be a function of the temporal and goal framing of feedback. Hence, we organise the varied insights and findings into a single framework—the Temporal and Goal Framing Model of Performance Feedback—to help guide future research.

11

Asset bubbles can often result in long-term financial and social consequences, thus threatening the sustainability of both corporations and society at large. Numerous scholars and pundits have argued that narratives have a clear and pronounced effect on asset bubbles, yet we still understand very little about the exact nature of that effect. In response, through a longitudinal study of the U.S. tech bubble of 1997 to 2000, we start to clarify the precise role that narratives play in asset bubble formation. We introduce a narrative theory of asset bubble formation, which contends that large-scale bubbles can emerge through three interrelated phases of (1) narrating a crisis, (2) narrating a recovery and (3) narrating a boom.

144

Multiple operational challenges exist in the deployment of internal trainers, as they are "occasional trainers" with "undefined roles for training". We ask three research questions on how the role duality of internal trainers influence the roles of (1) HR teams (2) individual internal trainers, and (3) work teams. Data was collected via 19 semi structured interviews from a Sri Lankan apparel organization. Findings reveal that the role duality of internal trainers pose both benefits and challenges to the key role set of internal trainers. We contribute by, (1) exploring the overlooked area of training - role duality of internal trainers, (2) using the role theory in a context of training, and (3) identifying best practices for deployment of internal trainers.

78

A substantial literature has demonstrated that social support within the workplace has a positive effect on an employee's experience at work. Relatively little is known about how social support from outside the workplace affects employees at work. This paper looks at a particular aspect of this issue: given that work-life conflict gives rise to employee perceptions of stress, does the availability of social support outside the workplace assist the employee in coping with work-life conflict? This question is examined using HILDA data collected in 2010 and 2011. It is found that employees with greater external social support reported less stress than employees with weaker social support.

44

Networking behaviours are important for employee outcomes. Little is known about the role of employee political skills on networking behaviours. This study examines the effect of employee internal and external networking behaviours on job commitment and job performance in the context of employee political skills. We utilised a mixed-method research design. Study 1 survey data were collected from middle managers and their supervisors from Sri Lankan organisations. Hierarchical regression analyses indicated: a positive relationship between internal networking behaviours and both job commitment and job performance, and internal networking behaviours improve job commitment for employees with high political skills. Study 2 employed interviews of a sample of survey participants. Content and thematic analyses elaborate on the results of Study 1. We discuss the implications of our findings.

122

The physical environment of work (PEW) has implications on how employees work and behave. Organizations across the word invest heavily in interior design elements, architectural design elements, and ambient conditions. This study asserts that the satisfaction and the importance placed on 21 different elements of the PEW leads to perceived support towards work, which in turn leads to positive employee and business outcomes. A quantitative approach was used and data was collected via a questionnaire administered online from a convenience sample of 226 Sri Lankan Information Technology (IT) workers. The findings indicate a positive relationship between elements of the PEW and employee outcomes. Additionally, perceived support for work partially mediates the relationship between interior design elements and employee outcomes.

127

Attracting and recruiting quality employees is an essential challenge for organisations as they compete for a limited supply of talented and skilled workers. The present paper aims to bring a new perspective on an individual's job choice decision by suggesting play in the workplace as a determinant of applicant attraction and subsequent choice. We argue that knowing a playful job will allow for fun, innovation, and enjoyment will make that job more desirable to a potential applicant. Further, we argue that this effect would be strengthened in individuals that were naturally playful. We then suggest potential ways to investigate this in future research efforts.

23

Organisational resilience has been criticised because of its definitional inconsistency. We argue that its meaning is evolving with theories, utilisation of different methodologies (conceptual, qualitative, quantitative), disciplines of research, and intervening global events. To address the issue and unravel the stability and reliability of this construct, we reviewed definitions of organisational resilience during the period of 1988-2020. We utilised Leximancer, a content analytic tool, to analyse the textual data. We found that organisational resilience is a dynamic construct. There is a 10-year lag in the adoption and utilisation of definitions of organisational resilience between empirical research and theoretical development. We discuss the reasons causing the lack of cross-fertilisation and provide three issues for future research considerations.

63

This study examines the effects of gender diversity on environmental CSR (ECSR) in family businesses in a cross-country setting. Empirical analysis employing a sample of 5171 firms for 68 countries for the period 2011 to 2019 finds evidence of a significant positive influence of gender diversity of corporate boards leading to improved ECSR performance in family businesses. In addition, this study also investigates the relevance of national economic and cultural characteristics for board gender diversity and CSR relationship. In countries with higher degree of power distance and long-term orientation, empirical investigations find evidence of a significant positive effect of women directors on ECSR in family businesses. The findings of this study support socio-emotional wealth theory and critical mass theory.

24

As opposed to prior blockchain literature that mostly investigated the influence of a limited number of stakeholders in the pre-adoption phase, this research-in-progress paper offers a new perspective by providing an examination of key facilitators and inhibitors of blockchain during its implementation phase. By adopting the lens of stakeholder theory, we review existing blockchain literature and identify seven key stakeholders: three internal stakeholders from multi-echelons of an organisation, two external stakeholders, and two distal stakeholders. The conceptual model is also developed to illustrate how each selected stakeholder, directly and indirectly, impacts the blockchain implementation performance. The study offers a modest contribution to academics regarding the prominent facilitators and inhibitors of blockchain deployment in the post-adoption phase.

35

As opposed to previous studies which mostly focused on the blockchain implication on the resistance aspect of resilience capability, this research-in-progress offers a new perspective by investigating blockchain implications on the two sequential stages of post-disruption recovery in supply chains. By adopting the lens of organisational information processing theory and dynamic capability, we argue that blockchain implementation can impact resilience capability through the two different mechanisms: 1) directly reinforces the disruption discovery performances through information authenticity, information visibility, and information processing capability, 2) indirectly enhances resilience capability in the disruption recovery process through facilitation of supply chain collaboration and agility. The study offers a modest contribution to academic and practice by extending the understanding of blockchain roles in post-disruption management.

ANZAM Conference
Workshop and Research Symposium Template
(2-3 pages max total)

Workshops and Research Symposia will be held **live in a virtual video meeting format** using Microsoft Teams.

• **The proposed Workshop/Research Symposium Title**
Building an MBA Teaching Portfolio – Experiences and Activities From Strategy Focused Instructors
• **The abbreviated heading for the Conference program** (8 words max)
Building an MBA Teaching Portfolio
• **Summary of the Workshop/Research Symposium objectives and activities** (6-8 dot points)
• Understanding the characteristics of today's MBA students • Hear about the experiences of three MBA instructors using different teaching methods • See some short activities in action (with a focus on strategy) • Learn where to find different activities • Collaboratively build a list of what may or may not work in developing your own MBA teaching plans
• **Description of the Workshop/Research Symposium for the Conference Abstract Booklet, which should also 'sell' the benefits of attending the session** (300 words max)
MBA/Executive MBA students are simultaneously one of the most rewarding yet demanding groups of students that lecturers are likely to encounter. Hear from three MBA focused instructors with more than 50 years of MBA teaching to their credit about both their successes, but also their classic failures in teaching these students. Attendees will contribute to the discussion to develop a list of characteristics of what does and does not work with MBA students. This will provide a basis for better understanding how to structure your classes and build an appropriate portfolio of material for MBA classes. The workshop presenters will then demonstrate a small number of activities that you may be able to use in your classes before showing participants a variety of different resources that may assist lecturers build a broad range of teaching materials. This workshop will suit people who are relatively new to teaching MBA students or those people simply looking for new ideas to add more 'life' to their classes. While the background of the presenters is strategy and therefore some of the examples will be strategy focused, many of the sources of materials will apply to a range of functional areas.
• **Relevance of the Workshop/Research Symposium to ANZAM members** (100 words max)
In many respects, teaching remains the 'poor cousin' relative to research activities in the modern university. Yet high quality teaching remains in cornerstone of just about every universities' strategy. As such, academics would do well to 'beg, borrow or steal' when it comes to teaching materials and ideas. To assist academics deliver quality teaching to MBA students more efficiently, this workshop builds on the extensive experiences of three senior teaching academics to introduce tips and materials to improve attendees teaching.

• **Names, titles and affiliations of the Workshop/Research Symposium organisers and presenters**		
1. Prof	Peter Galvin	Edith Cowan University
2. Dr	Tim O'Shannassy	RMIT
3. A/Prof	Gary Bowman	
4.		
5.		
• **Email Address(es) of Workshop/Research Symposium organisers and presenters**		
**1.** p.galvin@ecu.edu.au		
**2.** tim.oshannassy@rmit.edu.au		

3. gbowman@bond.edu.au	
4. Email	
5. Email	
• **Proposed format of Workshop/Research Symposium** (sub-divide approx. 100 minutes)	
Introduction – 5 minutes Models of teaching: 3 presenters x 10 minutes – 30 minutes What works and doesn't work with MBA students: collaborative activity involving all workshop participants – 20 minutes Examples of activities and resources to consider – 25 minutes Audience ideas for teaching materials – 10 minutes Q&A/debrief – 10 minutes	
• **Targeted attendees**	
Academics teaching MBA classes or those who aspire to teach MBA students	
• **Anticipated outcomes**	
Participants will develop a deeper understanding of what it takes to be a successful MBA instructor and become aware of different resources that they can tap to further improve their teaching performance with this unique group of students.	

Costs
All costs to attend the conference, including the conference registration fee, must be met by the presenters.

ANZAM Conference
Workshop and Research Symposium Template
(2-3 pages max total)

Workshops and Research Symposia will be held **live in a virtual video meeting format** using Microsoft Teams.

• **The proposed Workshop/Research Symposium Title**
Careers in Critical Management Studies
• **The abbreviated heading for the Conference program** (8 words max)
Careers in Critical Management Studies
• **Summary of the Workshop/Research Symposium objectives and activities** (6-8 dot points)
- In this workshop we will talk about how to craft a fulfilling career in the field of Critical Management Studies (CMS) - Drawing on the example of the CROS (Critical Reorientations on Organisations and Society) group at Monash University, we will hear from junior and senior academics in the field of CMS (e.g. Prof. Julie Wolfram Cox, Prof. Gavin Jack, Dr. Fahreen Alamgir and Dr. Laura Visser) to draw inspiration from their stories. - Moreover, we will use activities to get the attendees thinking about their own careers, through the use of certain metaphors of what they think their career trajectory will looks like
• **Description of the Workshop/Research Symposium for the Conference Abstract Booklet, which should also 'sell' the benefits of attending the session** (300 words max)
Critical Management Studies (CMS) is a relatively small but important field of study in the discipline of Management Studies. Those who identify with this field might struggle with navigating the academic system in ways that feel sustainable and fulfilling to them. This workshop is set up to help junior (as well as senior) CMS academics to think through some of the challenges that they might encounter in a supportive and collegial manner. At Monash University, there is a relatively large CMS community (18 faculty members and HDR students). Drawing on their expertise, and their continual grappling with being CMS scholars in a Business School, we will hear from both senior as well as junior members of that group (e.g. Prof. Julie Wolfram Cox, Prof. Gavin Jack, Dr. Fahreen Alamgir, Dr. Laura Visser) to draw inspiration from their stories. Moreover, we will use activities to get the attendees thinking about their own careers, through the use of certain metaphors of what they think their career trajectory will looks like. This workshop will also allow CMS scholars from all over Australia and New Zealand to connect with one another, which is especially relevant in times of the pandemic.
• **Relevance of the Workshop/Research Symposium to ANZAM members** (100 words max)
The Australian and New Zealand Management academia include a number of CMS scholars but they are often isolated at separate institutions. A number of these CMS scholars have been leading as an EIC/ Section Editor/ Associate Editor in top journals. Previously, ANZAM had been a space of interaction for them. Now that more universities in the region are committing to the PRME principles, we propose this workshop as a way to revive this discipline within ANZAM and connect CMS scholars to one another.
• **Names, titles and affiliations of the Workshop/Research Symposium organisers and presenters**

1. Prof.	Julie Wolfram Cox	Monash University
2. Dr.	Fahreen Alamgir	Monash University
3. Dr.	Laura Visser	Monash University
4. Prof.	Gavin Jack	Monash University

• **Email Address(es) of Workshop/Research Symposium organisers and presenters**
1. Julie.wolfram.cox@monash.edu

2. Fahreen.alamgir@monash.edu
3. laura.visser@monash.edu
5. gavin.jack@monash.edu
• **Proposed format of Workshop/Research Symposium** (sub-divide approx. 100 minutes)
Introduction (10 minutes) Guided panel discussion (30 minutes) Activity in break-out rooms (30 minutes) Plenary wrap-up with help of panel (20 minutes)
• **Targeted attendees**
CMS scholars, or those interested in the field, across Australia and New Zealand
• **Anticipated outcomes**
- Career advice - Improved insight into what one finds fulfilling - Networking/connection among CMS scholars

Costs

All costs to attend the conference, including the conference registration fee, must be met by the presenters.

ANZAM Conference
Workshop and Research Symposium Template
(2-3 pages max total)

Workshops and Research Symposia will be held **live in a virtual video meeting format** using Microsoft Teams.

• **The proposed Workshop/Research Symposium Title**
Creating Industry Podcasts for Authentic Management Learning
• **The abbreviated heading for the Conference program** (8 words max)
Creating Industry Podcasts for Learning
• **Summary of the Workshop/Research Symposium objectives and activities** (6-8 dot points)
This workshop provides an introduction to developing podcasts for management educators and provides tools and resources for participants including: • Pedagogical approaches to podcasting   • Planning podcasts for management students   • Recruiting industry partners   • Developing podcast content   • Integrating podcasts as learning resources   • Technical tips and tricks
• **Description of the Workshop/Research Symposium for the Conference Abstract Booklet, which should also 'sell' the benefits of attending the session** (300 words max)
This workshop was developed with the support of the 2020 ANZAM Promoting Excellence in Learning and Teaching (PELT) Grant. The interactive workshop provides practical tools and resources for management educators, developed by a team who created a series of podcasts with industry professionals for HR students. The workshop provides an introduction to developing podcasts for management educators and provides tools and resources for participants including: • Pedagogical approaches to podcasting   • Planning podcasts for management students   • Recruiting industry partners   • Developing podcast content   • Integrating podcasts as learning resources   • Technical tips and tricks
• **Relevance of the Workshop/Research Symposium to ANZAM members** (100 words max)
The workshop will provide ANZAM members with skills and knowledge to assist them to create authentic online learning resources for management students, while engaging with industry.

• **Names, titles and affiliations of the Workshop/Research Symposium organisers and presenters**		
1. Dr	Jannine Williams	QUT
2. Dr	Melinda Laundon	QUT
3. Dr	Penny Williams	QUT
4.		
5.		
• **Email Address(es) of Workshop/Research Symposium organisers and presenters**		
1. jannine.williams@qut.edu.au		
2. melinda.laundon@qut.edu.au		
3. p54.williams@qut.edu.au		
4. Email		

5. Email
• **Proposed format of Workshop/Research Symposium** (sub-divide approx. 100 minutes)
• Introduction (5 minutes) • Pedagogical approaches to podcasting (10 minutes) • Planning podcasts for management students (25 minutes including 10 minute breakout session) • Recruiting industry partners (10 minutes) • Developing podcast content (20 minutes including 10 minute small group activity) • Integrating podcasts as learning resources (5 minutes) • Technical tips and tricks (15 minutes) • Discussion/questions (10 minutes)
• **Targeted attendees**
Management educators who want to learn more about creating engaging and authentic online learning resources
• **Anticipated outcomes**
Participants will develop a draft plan for developing their own podcasts for their context.

Costs
All costs to attend the conference, including the conference registration fee, must be met by the presenters.

ANZAM Conference
Workshop and Research Symposium Template
(2-3 pages max total)

Workshops and Research Symposia will be held **live in a virtual video meeting format** using Microsoft Teams.

• **The proposed Workshop/Research Symposium Title**
Something New For Your Classroom: Developing An Innovating Teaching Practice
• **The abbreviated heading for the Conference program** (8 words max)
Developing an Innovating Teaching Practice
• **Summary of the Workshop/Research Symposium objectives and activities** (6-8 dot points)
Participants will: • Be introduced to a range of tools for developing their own practice of classroom innovating • Gain insights into their own domain specific knowledge relevant for innovating • Learn how to tap into their own teacher creativity for creating innovations • Apply techniques for observing and refining classroom innovations
• **Description of the Workshop/Research Symposium for the Conference Abstract Booklet, which should also 'sell' the benefits of attending the session** (300 words max)
Management education literature outlines an array of teaching innovations and ways to spark our students to think differently. Yet comparatively little is said about educators, and how we ourselves may engage in a practice of classroom innovating. While the argument is made that management education should change to better meet student needs (Wastell, 2014), classroom innovating occurs against the backdrop of unsecure academic careers (Harley, 2019). This means innovating is risky because changes take time to develop and implement (Baker & Baker, 2012). It is therefore important to consider how management educators can engage in a practice of innovating. This interactive workshop aims to provide participants with the tools to develop and implement their own practice of classroom innovating. By working through a variety of engaging activities, participants will develop an understanding of how they can empathetically and creatively rise to meet the learning challenges of their students. In short, they will learn how to develop their own innovating teaching practice.
• **Relevance of the Workshop/Research Symposium to ANZAM members** (100 words max)
With students requiring an education which enables them to navigate a complex world (Glen, Suciu & Baughn, 2014), pressure is on management educators to do things differently in the classroom. However, universities have created a performative environment with declining job security (Harley, 2019), which often detracts from efforts to engage in change in the teaching environment (Baker & Baker, 2012). In this workshop, participants will learn how to unleash their creativity in designing classroom innovations for making meaningful impact for their students.

• **Names, titles and affiliations of the Workshop/Research Symposium organisers and presenters**		
1. Dr	Stuart Middleton	University of Queensland Business School
2.		
3.		
4.		
5.		
• **Email Address(es) of Workshop/Research Symposium organisers and presenters**		
1. s.middleton@business.uq.edu.au		
2.		

3.	
4.	
5.	
• **Proposed format of Workshop/Research Symposium** (sub-divide approx. 100 minutes)	

The emphasis is that this will be an interactive workshop. Participants will undertake a range of engaging activities for better understanding how they might develop and maintain a practice of innovating. The workshop is proposed to proceed as follows:

1. Introduction (5 minutes)
2. Quiz game: How well do you know Gen Z? (10 minutes)
3. My last month at University activity: What domain specific knowledge do you possess? (10 minutes)
4. Develop your teaching philosophy: Virtual card sort activity (25 minutes)
5. Harnessing your creativity: bringing personal interests and insights to the fore in your management education classroom (25 minutes)
6. Cultivating skills in observation: ensuring that your innovations are working (10 minutes)
7. Debrief (10 minutes)

• **Targeted attendees**

Teaching focused academics, teaching and research academics, learning designers.

• **Anticipated outcomes**

Participants will leave with a list of questions and activities designed to assist them in developing their own innovating teaching practice.

Costs
All costs to attend the conference, including the conference registration fee, must be met by the presenters.

ANZAM Conference
Workshop and Research Symposium Template
(2-3 pages max total)

Workshops and Research Symposia will be held **live in a virtual video meeting format** using Microsoft Teams.

• **The proposed Workshop/Research Symposium Title**
Different Models of Career Success and Strategies to Achieve Them
• **The abbreviated heading for the Conference program** (8 words max)
Different Models of Career Success
• **Summary of the Workshop/Research Symposium objectives and activities** (6-8 dot points)
• A myriad conference sessions exist that attempt to deliver to attendees the one way through which to achieve success in academia. Yet, most academics would attest to the fact that their own careers have not unfolded in such a standardized way and that many of their most coveted career experiences have happened through serendipity, through career shocks, and against the odds (see e.g., Kraimer, Greco, Seibert, & Sargent, 2019; Sandhu, Perera, & Sardeshmukh, 2019).   • In this workshop, we would like to encourage participants to develop their own definitions of what career success in academia means to them, critically evaluate strategies they are currently employing to achieve said success, and equip them with additional tools and strategies to facilitate reaching their goals;   • In doing so, we challenge 'standard' definitions of career success and 'recipes' for success and ask participants to consider a more personalized and tailored definition of career success that improves their personal perceptions of accomplishment, confidence, and well-being. This is especially important given the current context of higher education in Australia and New Zealand, which has been particularly challenged by ongoing Covid-related changes;   • Ahead of the workshop, participants will be asked to prepare a short description of how they see career success and what they hope to achieve in the next five years of their careers, to be collected and collated by the panellists before the conference commences (we will email a survey link to participants; responses will be anonymous);   • The workshop will be divided into presentations by panellists and discussion with participants (in virtual breakout rooms). We will canvas the range of different models for career success which exist and different ways to pursue them;   • The aim is to provide participants with different frameworks for thinking about and pursuing success as well as a set of resources to help them pursue their personalized career goals.   References: Kraimer, M. L., Greco, L., Seibert, S. E., & Sargent, L. D. (2019). An investigation of academic career success: The new tempo of academic life. *Academy of Management Learning & Education*, *18*(2), 128-152.   Sandhu, S., Perera, S., & Sardeshmukh, S. R. (2019). Charted Courses and Meandering Trails: Crafting Success and Impact as Business School Academics. *Academy of Management Learning & Education*, *18*(2), 153-185.
• **Description of the Workshop/Research Symposium for the Conference Abstract Booklet, which should also 'sell' the benefits of attending the session** (300 words max)
The COVID-19 pandemic has challenged Australian and New Zealand higher education and disrupted academic careers, often very profoundly. As the situation moves back towards 'COVID normal', it is timely to consider the possibilities for career success. We all want to be successful academics. But what does that mean? And how should we pursue success? It is common to be told that success is measured in publications, citations, grants and prizes, and that the best way to achieve it is to prioritise work over everything else and to be ruthlessly competitive and instrumental. But is that the only, or

even the best, way to define success? And is that the best way to achieve success? This symposium will consider the problems inherent in subscribing to this kind of conception of success and the different ways that we can understand what a successful career is and how to achieve it. In doing so, participants will be encouraged to think about what they want from their careers and provided with insights and resources to help them pursue different dimensions of success.

- **Relevance of the Workshop/Research Symposium to ANZAM members** (100 words max)

The workshop is relevant to academics at all career stages, but particularly to early-career scholars who are trying to establish and position themselves for success. The current pandemic has thrown many scholars' career plans into disarray, leading some to question whether an academic career is either viable or desirable. Furthermore, academia in Australia and New Zealand has been hit particularly hard with COVID-related change in comparison to academia in European countries, the UK, or the USA, for example. Thus, consideration of different models of career success and different pathways to them seems particularly relevant at present and for this community.

- **Names, titles and affiliations of the Workshop/Research Symposium organisers and presenters**

1. Prof.	Wai Hung Gordon Cheung	The University of Auckland
2. Prof.	Bill Harley	The University of Melbourne
3. A. Prof.	Tine Koehler	The University of Melbourne
4. Prof.	Leisa Sargent	UNSW
5. A Prof.	Daiane Scaraboto	The University of Melbourne

- **Email Address(es) of Workshop/Research Symposium organisers and presenters**

1. gordon.cheung@auckland.ac.nz
2. bharley@unimelb.edu.au
3. tkoehler@unimelb.edu.au
4. l.sargent@unsw.edu.au
5. dscaraboto@unimelb.edu.au

- **Proposed format of Workshop/Research Symposium** (sub-divide approx. 100 minutes)

10 mins – Welcome and overview, including summary of the pre-workshop reflections
30 mins – presentations on the respective career paths of panelists
30 mins – breakout room group discussions on ways to pursue different models of career success
20 mins – reporting back from breakout rooms
10 – summing up and final reflections

- **Targeted attendees**

Although the workshop is likely to be of interest to academics at all levels, we are primarily targeting it at early career scholars, including PhD students.

- **Anticipated outcomes**

We anticipate that attendees will be stimulated to think about the different ways in which career success can be defined and the different paths to success which can be pursued. Importantly, we intend to provide them with advice and resources, which can be drawn upon to pursue particular career aims.

Costs
All costs to attend the conference, including the conference registration fee, must be met by the presenters.

ANZAM Conference
Workshop and Research Symposium Template
(2-3 pages max total)

Workshops and Research Symposia will be held **live in a virtual video meeting format** using Microsoft Teams.

• **The proposed Workshop/Research Symposium Title**
Exploring the spectrum of Indigenous management education: More than a welcome
• **The abbreviated heading for the Conference program** (8 words max)
Indigenising management education
• **Summary of the Workshop/Research Symposium objectives and activities** (6-8 dot points)

The aims of this workshop are to:
 	
• Examine the spectrum of Indigenising management education from inserting Indigenous case examples into mainstream subjects to developing Indigenous subjects and everything in between.
 	
• Contribute to furthering the critical agenda of the ANZAM Indigenous SIG, by:
  o advancing teaching pedagogies that embrace culturally constituted modes of knowledge sharing and collaborative learning; and,
  o increasing indigenous knowledges, ideas, concepts, models, languages, practices and ideas within management scholarship.
 	
• Continue the conversations initiated by the *Spotlight on learning and teaching: Addressing the wicked problem of indigenising the curriculum*. Panel discussion at the *Australian & New Zealand Academy of Management (ANZAM) 33rd Conference: Wicked Solutions to Wicked Problems: The Challenges Facing Management Research and Practice*, Cairns, Australia. Presenters, Diane Ruwhiu, Ella Henry, Mark Rose & Mark Jones.
 	
• To share our key takeaways of achieving meaningful and robust introduction of Indigenous content into management curriculum.

• **Description of the Workshop/Research Symposium for the Conference Abstract Booklet, which should also 'sell' the benefits of attending the session** (300 words max)
Business school and management education has a role and responsibility towards the self-determination and transformative potential of Indigenous communities around the world. At the same time, from our business school stakeholders we are hearing urgent calls for curriculum that is more humanistic and eco-centric reflective of the socio-environmental realities facing our graduates and communities. In recent years, education has experienced a 'curricular paradigm shift' that has grown to incorporate strategies to achieve purposeful and meaningful development of Indigenous knowledges, philosophies, ideas, images, languages, concepts, methods etc. into the curriculum, learning objectives and coursework. However, while the potentiality of authentic and respectful introduction of Indigenous content and context has been advanced significantly within the literature, there is still a lack of meaningful uptake of the potential methods and outcomes. In this workshop we will share key success factors on the development and delivery of business and management education that reflects, with integrity, the Indigenous world, cultural values and perspectives. We do not offer this workshop as a definitive solution to how or what Indigenous content might be included into management curriculum. Rather our intent is through our collective experiences offer key insights on the broad and rich spectrum of Indigenous-centred curriculum, both as an embedded component into existing management courses and fully Indigenous (e.g. kaupapa Māori) management courses. By Indigenous-centred curriculum we mean content that is research-led, designed and delivered by appropriately qualified staff, who in most instances are Indigenous academics

or professional staff, but in some cases may be non-Indigenous colleagues who have an interest and commitment to best practice.

This workshop draws from our collective learnings to offer safe ground on which to consider the inclusion of Indigenous content into the management currciulum.

- **Relevance of the Workshop/Research Symposium to ANZAM members** (100 words max)

Indigenous knowledges in ANZAM is an increasingly discussed domain of management research and practice. It is a subject of growing attention and scholarship, lauded as a values-oriented, disruptive, alternative lens through which we can better understand management and organisation in Indigenous contexts and from Indigenous perspectives. Bringing the domain of Indigenous scholarship into our management curriculum, meaningfully and with integrity, is a crucial component of ensuring resilient and innovative management in turbulent times. This workshop aims to provide a safe and productive environment where Indigenous scholars can share (with each other and our non-Indigenous colleagues) their insights in relation to bringing indigenous content and context into our management curriculum.

- **Names, titles and affiliations of the Workshop/Research Symposium organisers and presenters**

1. A/Prof	Diane Ruwhiu	University of Otago Business School
2. A/Prof	Ella Henry	Auckland University of Technology
3. A/Prof	Michelle Evans	The University of Melbourne
4. Mr	Mark Jones	RMIT
5. Prof	Mark Rose	RMIT
6. Prof	Jarrod Haar	Auckland University of Technology
7. Dr	Kiri Dell	University of Auckland
8. Mr	Kevin Moore	RMIT
9. Dr	Sharlene Leroy-Dyer	UQ Business School
10. Dr	Jason Mika	Massey University

- **Email Address(es) of Workshop/Research Symposium organisers and presenters**

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- **Proposed format of Workshop/Research Symposium** (sub-divide approx. 100 minutes)

An online format this workshop will
1. Introduction (5 minutes) – Diane Ruwhiu
   - Introduce the kaupapa - Indigenising management education
   - Introduce the workshop structure and panellists

2. Introducing content into business & management curriculum (30 mins)
   - Mark Jones (RMIT University) – *Indigenising a unit: More than a welcome*
   - Ella Henry (Auckland University of Technology) - *Development of a Māori business minor programme*
   - Kiri Dell (University of Auckland) – *Kaupapa-centred curriculum for Māori PGDip Māori development*
   - Sharlene Leroy-Dyer (UQ Business School) – *Indigenising the curriculum: Overcoming negative narrative*

3. Discussion, Question & Answer (15 minutes)

4. Building resilient Indigenous programme pathways at the institutional level (25 mins)
   - Mark Rose (Deakin) - *Emerging Indigenous development IEELP programme*
   - Michelle Evans (University of Melbourne) - *Faculty of Business and Economics and Melbourne Business School Divisional Indigenous Plan*
   - Jarrod Haar (Auckland University of Technology) – *Lessons from a failed introduction of a Māori MBA*
   - Jason Mika (Massey University) - *institutional collaboration on Indigenous business education and research in business schools*

5. Discussion, Question & Answer (15 minutes)

6. Closing remarks & reflections (10 minutes) – Kevin Moore (RMIT University) & Diane Ruwhiu

• **Targeted attendees**
Indigenous and non-Indigenous business/management academics, PhD and other post-graduate students who are interested in Indigenous management research and teaching.

• **Anticipated outcomes**
A primary goal of this workshop is to open a critical conversation about Indigenous management education, to consider how our Indigenous culture(s) are integrated in practical and meaningful ways into our teaching. An anticipated outcome is for attendees to leave with a much stronger appreciation of the what, why and how to introduce Indigenous content into curriculum, but also be armed with some ideas and strategies to support their own journey of cultural competency development.

Costs
All costs to attend the conference, including the conference registration fee, must be met by the presenters.

ANZAM Conference
Workshop and Research Symposium Template
(2-3 pages max total)

Workshops and Research Symposia will be held **live in a virtual video meeting format** using Microsoft Teams.

• **The proposed Workshop/Research Symposium Title**
Innovation, technology, and post-COVID disruption

• **The abbreviated heading for the Conference program** (8 words max)
Successful contemporary strategies to deliver global innovation programs

• **Summary of the Workshop/Research Symposium objectives and activities** (6-8 dot points)
Objectives: 1. Understand the requirements of an innovation program to be delivered around the globe; 2. Learn about successful strategies to attract participants and deliver a global innovation program; 3. Analyse the design of a global innovation program and the supporting technologies for its delivery; 4. Understand how technologies can support the innovation of educational programs. Activities included in the workshop: **1.** Simulation of the delivery of a global innovation program; **2.** Presentation of a case study.

• **Description of the Workshop/Research Symposium for the Conference Abstract Booklet, which should also 'sell' the benefits of attending the session** (300 words max)
Covid19 posed challenges for participants of global innovation programs to travel to Australia so programs had to be redesigned and restructured to be simultaneously delivered face-to-face and virtually. Engagement and participation are key to successful innovation outcomes. It is important to be mindful in the interaction design of a hybrid delivery model. There are many technology choices that can assist in complimenting University platforms and choosing the right combination of platforms to integrate into delivery modes contributes to easy connections between participants, no matter location. Leveraging on platforms that are used in contemporary workplaces is an added benefit – allowing participants to decide how they use these platforms, rather than directing their use, creates a sense of trust and builds collegiality between participants as they navigate the best ways to collaborate across locations and timeframes. While delivering content and creating spaces for interaction and collaboration, approaching the structure from a "third space of learning" positively contributes to better engagement and learning outcomes. By considering the learning in a digital third space while developing knowledge, knowledge application, technological literacy and forging human connections is key to the success of delivering a global innovation program. Identifying and creating realistic, real time interaction is important to maintain interest and engagement. Creating trust and open communication between all participants, encouraging the sharing of ideas and thought without fear of judgement contributes to high engagement and participants' satisfaction. Global innovation programs include workshops, guest speakers, mentor sessions, site visits and industry engagement events and all of these activities have been redesigned to be delivered through various formats and channels to the different needs and times zones of the participants allowing online participants to enjoy these experiences almost as if they were attending in person.

By attending this workshop, participants will be able to obtain more information about this successful innovative approach to teaching global innovation programs.

- **Relevance of the Workshop/Research Symposium to ANZAM members** (100 words max)

This workshop is organised to provide participants with relevant information on innovative teaching models but also with hands on experience on participating in a simulation of the delivery of a global innovation program. Moreover, it will be undoubtedly valuable for participants to learn about some cases studies of global innovation programs with successful outcomes, which can be linked to other programs that are currently being delivered by higher education institutions and industry.

Finally, Australia and New Zealand are world references in innovation programs and this workshop highlights how innovation and technology are contributing to create strong competitive advantages at global scale.

- **Names, titles and affiliations of the Workshop/Research Symposium organisers and presenters**

1. Lecturer, Innovation & Enterprise	Carla Dias Wadewitz	Flinders University
2. Director, Flinders New Venture Institute	Verity Kingsmill	Flinders University

- **Email Address(es) of Workshop/Research Symposium organisers and presenters**

1. carla.diaswadewitz@flinders.edu.au
2. verity.kingsmill@flinders.edu.au

- **Proposed format of Workshop/Research Symposium** (sub-divide approx. 100 minutes)

1. The role of innovation in global higher education (15 mins)

2. Disruptive models in delivering innovation programs – how technology is changing the delivery of programs, especially post Covid19 (40 mins)

3. Case studies: FOMENT

4. Q&A (25 mins)

- **Targeted attendees**

Academics, Researchers, Companies, Students and Training Organisations.

- **Anticipated outcomes**

Participants of this workshop will:
1. Be able to conceptualise and design a global innovation program with hybrid delivery;
2. Identify the critical success factors of delivering a global innovation program;
3. Define a mix of technologies that ensure the maximisation of learning experiences, satisfaction and outcomes;
4. Obtain an overview of the latest global technological developments available for the delivery of innovation programs.

Costs
All costs to attend the conference, including the conference registration fee, must be met by the presenters.

ANZAM Conference
Workshop and Research Symposium Template
(2-3 pages max total)

Workshops and Research Symposia will be held **live in a virtual video meeting format** using Microsoft Teams.

• **The proposed Workshop/Research Symposium Title**
Management education: Achieving broader social purpose and impact
• **The abbreviated heading for the Conference program** (8 words max)
Management education: Achieving broader social purpose and impact
• **Summary of the Workshop/Research Symposium objectives and activities** (6-8 dot points)
The symposium's objectives are to: - Share and gather insights into the role of management education - Share exemplars and explore opportunities as to how management education and be designed to shape and enable responsible business practitioners and leaders. The activities of the symposium are: - Introduction and panel presentation - Moderated questions and answers by the convenor - Facilitated brainstorming in individual break-out groups - Concluding comments and wrap up
• **Description of the Workshop/Research Symposium for the Conference Abstract Booklet, which should also 'sell' the benefits of attending the session** (300 words max)
Management education has long been a feature of business school education and has arguably become one of its central and defining disciplines, with an array of sub-disciplines to do with how people and resources are mobilised across a variety of organisational contexts. This includes what industry needs and what can be taught, researched, shared and adapted. Management education has become increasingly specialised and complex, and cultivates important sociological and psychological insights. Its role in shaping future leaders of organisations remains key. Business schools and management academics are core actors that can help bridge the gap between the grand challenges of the real world and the kind of human capital needed to address them. In this symposium, attendees will get to hear about how management academics have led/experienced initiatives to expand business students' management knowledge and skill repertoire for the changing world. Hafsa Ahmed (Lincoln University) will set the scene and convene the workshop that focuses on how management educators working in business schools can contribute to students understanding of broader social purpose and impact. Brad Jackson (Director MBA & Professor of Leadership and Governance at the University of Waikato) will talk about the challenge of ensuring that management education aligns with the continuous lifelong learning needs of individuals and organisations and not just the recent school-leaver. Aligning ourselves in this manner will necessarily drive a stronger and more immediate focus on creating social, environmental and environmental impact in our teaching and research. Kate Kearins (Pro Vice Chancellor and Dean of the Faculty of Business, Economics and Law at Auckland University of Technology) will talk about the adoption of social impact as a key theme in AUT's Bachelor of Business. Rowena Barrett (Pro Vice-Chancellor Entrepreneurship at Queensland University of Technology will unlock understandings of effective practice through impactful engagements. Participants will be able to ask questions and participate in breakout discussions.
• **Relevance of the Workshop/Research Symposium to ANZAM members** (100 words max)
The symposium aligns strongly with ANZAM 2021 conference theme "Bouncing Back: Innovative Management in Turbulent Times" and ANZAM's purpose to advance management education. With its

focus on enhancing management education to have socially or environmentally responsible business leaders, it contributes towards the conference's ambition to encourage mindful inquiry around impact. The symposium has direct relevance to all ANZAM members who seek to explore opportunities on how to innovate management education in rapidly changing environments.		
• **Names, titles and affiliations of the Workshop/Research Symposium organisers and presenters**		
1. Dr	Hafsa Ahmed	Lincoln University
2. Prof.	Brad Jackson	University of Waikato
3. Prof.	Kate Kearins	Auckland University of Technology
4. Prof.	Rowena Barrett	Queensland University of Technology
• **Email Address(es) of Workshop/Research Symposium organisers and presenters**		
1. Hafsa.Ahmed@lincoln.ac.nz		
2. brad.jackson@waikato.ac.nz		
3. kate.kearins@aut.ac.nz		
4. rowena.barrett@qut.edu.au		
• **Proposed format of Workshop/Research Symposium** (sub-divide approx. 100 minutes)		
Part 1 - Ignite session (60 minutes) Introduction to the symposium. Each panel member will speak for 10 minutes accompanied by slides to amplify their pooints Questions/comments are allowed after each panel member has spoken Part 2 - Breakout rooms (40 minutes) Attendees will be put in smaller breakout groups to gather ideas on a Miro whiteboard (virtual collaboration platform) focusing on the symposium topic. Concluding comments and wrap up		
• **Targeted attendees**		
The targeted audience for this symposium are all - management course educators - Heads of schools of management and related business school disciplines		
• **Anticipated outcomes**		
The anricipated outcomes of this symposium are: • A broadening awareness of different approaches to how management education could strengthen and enable responsible business practitioners and leaders • Encouragement of well thought through initiatives that contribute towards advancing management education and making it more impactful.		

Costs
All costs to attend the conference, including the conference registration fee, must be met by the presenters.

ANZAM Conference
Workshop and Research Symposium Template
(2-3 pages max total)

Workshops and Research Symposia will be held **live in a virtual video meeting format** using Microsoft Teams.

• **The proposed Workshop/Research Symposium Title**
Promoting Mental Health and Well-Being in PhD Students and Early Career Academics (ECAs)
• **The abbreviated heading for the Conference program** (8 words max)
Promoting Mental Health in PhD Students and ECAs
• **Summary of the Workshop/Research Symposium objectives and activities** (6-8 dot points)
• Objective 1: To provide a forum to share experiences about mental health and well-being • Objective 2: To discuss different personal challenges faced by PhD students and ECAs and how these can impact their well-being • Objective 3: To discuss different professional challenges faced by PhD students and ECAs and how these can impact their well-being • Objective 4: To discuss mechanisms for institutional support for PhD students and ECAs • Objective 5: To equip participants with knowledge and skills they can use to promote well-being The overall aims of the workshop are to: (1) introduce participants to the concepts of mental health and well-being, with a focus on recent research with PhD students and ECAs in business schools; (2) share experiences in a supportive forum, including challenges faced; and (3) identify strategies to promote well-being both individually and within business schools/departments.
• **Description of the Workshop/Research Symposium for the Conference Abstract Booklet, which should also 'sell' the benefits of attending the session** (300 words max)
In a 2019 submission to the Productivity Commission Inquiry into Mental Health, the Council of Australian Postgraduate Associations highlighted the fact that postgraduate students experience high rates of stress and mental ill-health, which can have a significant impact on outcomes including their general well-being and academic performance. The ongoing COVID-19 pandemic has raised further concerns about doctoral student well-being both in Australia and overseas. In addition to the negative impact on students, the well-being of candidates has implications for business schools and universities generally. There is evidence that poor well-being—a concept which includes mental ill-health—is associated with reduced academic performance, and that stress negatively impacts graduate student learning. Furthermore, burnout is associated with doctoral student attrition, and emotional exhaustion predicts intention to leave academia. Recently, researchers have called for more attention to well-being among academics and students in business schools, particularly those at the early stages of their careers. In this workshop, facilitated by leading international researchers in the field, we will explore the major reasons for high levels of stress and mental ill-health in business schools. Through sharing ideas and experiences, workshop participants will learn about some of the major stressors that PhD students and ECAs face and their potential consequences. Additionally, we will encourage participants to share how they have personally managed these challenges, and which strategies/approaches have been most useful. The four facilitators, all of whom are internationally recognised thought leaders and advocates for mental health in academia, will share insights from their own research, their experiences about how they coped with challenges, and how they maintain their own well-being. Participants will learn evidence-based strategies to promote their well-being (including their mental health) as students and ECAs, and how to encourage well-being in business schools broadly.

• **Relevance of the Workshop/Research Symposium to ANZAM members** (100 words max)	
Research suggests that many academics, particularly PhD students and ECAs, experience poor well-being. Academics in business schools especially face an uncertain operating environment post-COVID characterised by high levels of stress. When employees experience mental ill-health, this can impact a variety of outcomes, including performance, productivity, and turnover. It is important that we equip academics with knowledge and skills to manage stress and ill-health at the early stages of their careers so they can address challenges effectively in future. We believe this workshop will be of benefit to all PhD students and ECAs attending ANZAM and those who work with them.	

• **Names, titles and affiliations of the Workshop/Research Symposium organisers and presenters**		
1. Dr	Marissa Edwards	The University of Queensland
2. Dr	Erin Gallagher	The University of Queensland
3. Dr	Kevin Lo	University of San Francisco
4. Dr	Adam Pervez	Mississippi State University - Meridian

• **Email Address(es) of Workshop/Research Symposium organisers and presenters**
1. m.edwards@business.uq.edu.au
2. e.gallagher@business.uq.edu.au
3. apervez@meridian.msstate.edu
4. kdlo@usfca.edu

• **Proposed format of Workshop/Research Symposium** (sub-divide approx. 100 minutes)

- 0-10 minutes: Welcome, summary of workshop and introductions
- 10-35 minutes: Small group brainstorming activity using worksheets about the major personal and professional challenges that PhD students and ECAs can face and their impact on well-being
- 35-50 minutes: Debrief of brainstorming activity
- 50-65 minutes: Individual writing activity about strategies used to promote and maintain well-being, with a focus on mental health
- 65-90 minutes: Whole group discussion with individual input from each facilitator about how to: (1) promote well-being individually and at a departmental level; (2) reduce stigma about mental health in business schools.
- 90-100 minutes: Conclusion and short reflective writing exercise

• **Targeted attendees**

PhD students and ECAs. Supervisors of doctoral students and those involved in senior administrative roles are also strongly encouraged to attend.

• **Anticipated outcomes**

After attending this workshop, participants will have a comprehensive understanding of the key challenges/stressors that students and ECAs can face in the business school context, as well as the potential impact of these on mental health. Participants will also be equipped with knowledge and strategies to support their own well-being, promote mental health and reduce stigma within their own school/department.

Costs
All costs to attend the conference, including the conference registration fee, must be met by the presenters.

ANZAM Conference
Workshop and Research Symposium Template
(2-3 pages max total)

Workshops and Research Symposia will be held **live in a virtual video meeting format** using Microsoft Teams.

• **The proposed Workshop/Research Symposium Title**
Mental Health in Business Schools: Starting A Conversation
• **The abbreviated heading for the Conference program** (8 words max)
Mental Health in Business Schools: Starting A Conversation
• **Summary of the Workshop/Research Symposium objectives and activities** (6-8 dot points)
• Objective 1: To bring together an international panel of academics to share their research, knowledge and personal experiences relating to mental health and well-being at work • Objective 2: To hear from academics at different stages of their careers about their experiences relating to mental health and well-being • Objective 3: To identify some of the challenges/stressors that can affect academics' mental health • Objective 4: To discuss the impact of poor mental health, including stress and burnout, on academics' individual and work outcomes • Objective 5: To share ideas about how academics can promote well-being in themselves and within their schools/departments, including evidence-based strategies and approaches • Objective 6: To create an opportunity for networking with others who are interested in mental health promotion
• **Description of the Workshop/Research Symposium for the Conference Abstract Booklet, which should also 'sell' the benefits of attending the session** (300 words max)
In the last several years, issues relating to mental health and well-being in academia have attracted substantial attention from researchers and in the popular press. Although scholars have long acknowledged that academia is a stressful profession, the situation in higher education today has been described as a crisis, with considerable numbers of academics around the world reporting high rates of mental illness and poor well-being overall. To date, however, most research has been conducted with academics in the sciences, and there are few studies in the context of business schools. This is despite strong anecdotal evidence that many PhD students, Early Career Academics (ECAs) and even highly experienced management academics struggle with multiple stressors. The COVID-19 pandemic has further exacerbated existing difficulties and created a precarious environment for those in business schools. As such, we believe that it is both critical and timely to have a frank and open discussion about mental health. This symposium will bring together academics from Australia, New Zealand and the United States to hold a conversation about mental health and well-being in business schools. Comprised of ECAs and academics in senior positions, including two Professors, panellists will share research findings and their own experiences about the major challenges/stressors that academics can face at different stages of their careers, and the potential impact of these on mental health. Additionally, panellists will disclose how they have personally managed such challenges and which strategies/approaches have been most effective. Building on current research and examples, we will also discuss how to create a culture in business schools in which academics' mental health is valued and supported. Here, participants will learn about specific actions that can be implemented within schools/departments to reduce stigma and promote well-being overall.

• **Relevance of the Workshop/Research Symposium to ANZAM members** (100 words max)
Academics in business schools face considerable stressors, and many are experiencing increased uncertainty and work pressures in the context of the ongoing pandemic. Research also indicates that poor mental health can impact a range of different outcomes at work. For academics in business schools, it can negatively affect their teaching and/or research performance and productivity, ability to supervise students, capacity to serve the profession, and relationships with colleagues. Therefore, sharing our knowledge and experiences, as well as strategies about how to improve and promote mental health at work, is relevant to all ANZAM members.

• **Names, titles and affiliations of the Workshop/Research Symposium organisers and presenters**		
1. Dr	Hafsa Ahmed (panellist)	Lincoln University
2. Professor	Neal M. Ashkanasy (panellist)	The University of Queensland
3. Professor	Melanie Bryant (panellist)	The University of Tasmania
4. Dr	Marissa Edwards (facilitator)	The University of Queensland
5. Dr	Jemma King (panellist)	The University of Queensland BioPsychAnalytics founder
6. Dr	Kevin Lo (panellist)	The University of San Francisco

• **Email Address(es) of Workshop/Research Symposium organisers and presenters**
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5. j.king16@uq.edu.au
6. kdlo@usfca.edu

• **Proposed format of Workshop/Research Symposium** (sub-divide approx. 100 minutes)
0-15 minutes: Welcome and introductions   15-40 minutes: Panel discussion about challenges faced by academics in business schools and how these can impact mental health   40-65 minutes: Panel discussion about how to address challenges, including individual level strategies, as well as promote a culture of mental health in business schools   65-90 minutes: Question and Answer session with the panel   90-100 minutes: Conclusion and networking

• **Targeted attendees**
All ANZAM members are encouraged to attend. We believe the symposium will be particularly relevant to PhD students and ECAs, as well as those in administrative roles.

• **Anticipated outcomes**
After attending this symposium, participants will understand some of the key challenges/stressors that academics can face in business schools at different stages of their careers, as well as the potential impact of these on mental health. Participants will also leave with knowledge of specific, practical strategies/approaches that they can use to look after their own mental health and how they can promote a mentally healthy work culture.

Costs
All costs to attend the conference, including the conference registration fee, must be met by the presenters.

ANZAM Conference
Workshop Template
(2-3 pages max total)

Workshops will be held **live in a virtual video meeting format** using Microsoft Teams.

• **The proposed Workshop Title**
What you know for sure that just ain't so: Common, but inappropriate, methodological practices and their remedies

• **The abbreviated heading for the Conference program** (8 words max)
Inappropriate methodological practices and their remedies

• **Summary of the Workshop objectives and activities** (6-8 dot points)
- In this workshop, we report on several common methodological practices that are in fact misapplications or misinterpretations of a particular method.   - The workshop has two main parts. In the first part, we introduce audience members to common methodological pitfalls, i.e., widespread methodological practices which, in fact, are not appropriate.   - Drawing on current research methods literature and our own research, we explain why these practices are detrimental to the conduct of research and ultimately pose a threat to the validity of findings and conclusions.   - We then recommend alternative practices that are aligned with the purpose and methodological foundations of the method in question.   - In the second part of the workshop, we engage participants in roundtable discussions to offer methodological consultations and provide advice for the audience members' ongoing research.   - Our ultimate goal is for audience members to obtain fundamental methodological knowledge about commonly used practices in our field that they can directly implement in their own research. Such knowledge will improve method applications in their own research as well as in research that they review or supervise. Proper use of various methodologies increases the likelihood that researchers can place their research in highly respected outlets.

• **Description of the Workshop for the Conference Abstract Booklet, which should also 'sell' the benefits of attending the session** (300 words max)
Common methodological pitfalls, if encountered, may invalidate one's findings and conclusions and subsequently, jeopardize publication. Given their potentially detrimental outcomes, active researchers need to be well aware of these pitfalls and do their utmost to avoid them. However, suboptimal or inappropriate practices are sometimes perpetuated through publication. By virtue of being published, other authors assume that the use of the method in this way is appropriate. Even if a methodological paper later demonstrates that the method should not be used in that way, earlier publications that have used the inappropriate method usually stand uncorrected. Over time, inappropriate use of various methods and practices accumulates adding undue legitimacy to these incorrect practices. Any one methodological paper can only do so much to remedy practices with a long publication history.   Instead, what a community must do is talk often and widely about methods practices so that issues are corrected as they emerge in the research process. This is the purpose of the current session. We introduce attendees to typical examples of research methods practices that many researchers think are appropriate when in fact they are not. We provide background information from methodological research on common research practices that are often employed incorrectly (using Cronbach alpha as a reliability estimate, adaptation of survey measures, using and citing meta-analytic findings, using PROCESS to estimate confidence intervals in moderated mediation, choosing measurement time lags). We then offer the audience alternatives for correct application of these methods. Finally, we

engage audience members in roundtable discussions to provide advice regarding research methods questions they encounter in their own work.

- **Relevance of the Workshop to ANZAM members** (100 words max)

Research methods are the tools of our trade. Almost all researchers who engage in empirical research need to stay up-to-date on their methodological knowledge to apply appropriate research methods to their research. Common methodological pitfalls, if encountered, may invalidate one's findings and conclusions and subsequently, jeopardize publication. We want to help ANZAM members identify these common methodological pitfalls, understand why misapplications of certain methods may be detrimental to their research, and suggest alternative (and better) uses of these methods. The roundtable discussions offer further opportunities for ANZAM members to be actively engaged in learning about and discussions of research methods.

- **Names, titles and affiliations of the Workshop organisers and presenters**

1. A/Prof.	Tine Köhler	The University of Melbourne
2. Sr. Lec.	Jeremy Schoen	The University of Auckland
3. Dr.	Zitong Sheng	Curtin University & The University of Auckland
4. Prof.	Wai Hung Gordon Cheung	The University of Auckland
5. Prof.	Mark Griffin	Curtin University

- **Email Address(es) of Workshop organisers and presenters**

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3. zitong.sheng@curtin.edu.au

4. gordon.cheung@auckland.ac.nz

5. mark.griffin@curtin.edu.au

- **Proposed format of Workshop** (sub-divide approx. 100 minutes)

Part 1 of the workshop (5 minutes) – Introduction to workshop and purpose.
The organizers provide a brief overview of the workshop and of the content that will be covered in the session.

Part 2 of the workshop (45 minutes) – Common methodological pitfalls and their foundations
The speakers provide background information from methodological research on highly common research practices that are often employed incorrectly. More specifically, the three speakers report on the following practices:

- The use of Coefficient alpha as an indicator for reliability (Sheng)
- Practices regarding the use and adaptation of survey measures (Schoen)
- Using and citing meta-analytic evidence in one's work (Koehler)
- Employing PROCESS to estimate the confidence intervals of moderated mediation effects (Cheung)
- Choosing and considering optimal time lags between measurement occasions (Griffin)

For each practice, we first identify the practice that is pervasive but highly problematic, provide methodological background on the challenge to validity of conclusions the inappropriate practice poses, and then provide alternatives for appropriate practices to correctly apply these methods.

Part II (50 min) – Research consultation roundtables.
In a roundtable format, we engage audience members in discussions about their experiences with the discussed methodological pitfalls and offer advice on alternative uses of these research methods in their own future work.

- **Targeted attendees**

This workshop should be of interest to all ANZAM members involved in conducting research and writing it up for publication.

• **Anticipated outcomes**
• Participants will gain a better understanding of the best practices of commonly used methods and techniques. • They will be able to identify practices that are problematic when they are conducting their own work, but also when they are reading the work of others (e.g., as reviewers or supervisors). • They will learn about appropriate alternative practices to improve their own future work as well as the work of those they advise. • Participants will be able to receive feedback on their current work in progress to improve the application of methods.

Costs

All costs to attend the conference, including the conference registration fee, must be met by the presenters.

<div align="center">

ANZAM Conference
Workshop and Research Symposium Template
(2-3 pages max total)

</div>

Workshops and Research Symposia will be held **live in a virtual video meeting format** using Microsoft Teams.

• **The proposed Workshop/Research Symposium Title**
A Relatively Gentle and Very Thorough Introduction to Testing Moderation in Business and Psychological Studies with Latent Variables
• **The abbreviated heading for the Conference program** (8 words max)
Testing Moderation with Latent Variables
• **Summary of the Workshop/Research Symposium objectives and activities** (6-8 dot points)
This workshop will:

1. Introduce participants to a recently developed method of testing moderation hypotheses with latent variables that overcomes known drawbacks of testing such hypotheses using observed variables.
2. Present a range of examples for testing moderation hypotheses with latent variables.
3. Walk participants through the interpretation of results.
4. We ask participants to do some pre-work before the workshop: (1) read our published paper and watch the narrated PowerPoint presentation; (2) try using the approach with their data (using the free Mplus demo version if needed) to identify any issues they have.
5. Participants will be asked to submit questions related to their specific projects before the conference. Their questions will be answered during the workshop so that they can immediately implement this new and improved approach.

• **Description of the Workshop/Research Symposium for the Conference Abstract Booklet, which should also 'sell' the benefits of attending the session** (300 words max)

Moderation analyses are ubiquitous in organizational research, yet are often conducted with manifest variables that do not account for measurement errors. Thus, organizational researchers may test the validity of their measurement models using structural equation modeling (SEM) to estimate the size of measurement errors, yet revert to inferior regression-based approaches, such as moderated multiple regression (MMR), when testing for moderating and other nonlinear effects. Among other reasons for this switch to non-latent approaches, one particular obstacle may have been the limited and complicated procedures for testing latent interactions.

This workshop will introduce participants to a comprehensive 4-step approach to investigating moderation using latent moderated structural equations (LMS), drawing on our recently published paper and comprehensive supplementary resources (Cheung et al., 2021).

The workshop will be divided into four parts. First, we will briefly explain the LMS approach. Second, we will present the reliability-corrected single-indicator LMS (RCSLMS) approach to testing latent interactions with summated scales and correcting for measurement errors, yielding results similar to LMS. A benefit of RCSLMS is that it can be implemented for many studies using the free demo version of Mplus.

Third, we will show how LMS and RCSLMS can be implemented with Mplus. Our example-based tutorial will demonstrate a 4-step procedure for testing a range of latent interactions, as well as the decisions at each step.

Finally, participants should send questions related to their projects to one of the presenters before the workshop and we will answer their questions at the workshop.

Participants can download a narrated PowerPoint presentation, all Mplus syntax and output files, data sets for numerical examples, and Excel files for conducting the loglikelihood values difference test and plotting the latent interaction effects before the workshop (https://static-content.springer.com/esm/art%3A10.1007%2Fs10869-020-09717-0/MediaObjects/10869_2020_9717_MOESM1_ESM.pdf).

• Relevance of the Workshop/Research Symposium to ANZAM members (100 words max)		
Moderation studies are critical and common in OB/HR research, and researchers have been continuously searching for the best analytical practices for these studies. This workshop will enable ANZAM members to understand and implement the proper procedures for conducting moderation analyses in OB/HR research.		
• Names, titles and affiliations of the Workshop/Research Symposium organisers and presenters		
1. Professor	Gordon W. Cheung	University of Auckland Business School
2. Professor	Helena D. Cooper-Thomas	Auckland University of Technology
3.		
4.		
5.		
• Email Address(es) of Workshop/Research Symposium organisers and presenters		
1. Gordon.cheung@auckland.ac.nz		
2. Helena.cooper.thomas@aut.ac.nz		
3. Email		
4. Email		
5. Email		
• Proposed format of Workshop/Research Symposium (sub-divide approx. 100 minutes)		
Presentation of LMS & RCLMS (15 minutes) Demonstrate the implementation of LMS and RCLMS (45 minutes) Interactive Q&A (40 minutes)		
• Targeted attendees		
Faculty members and PhD students		
• Anticipated outcomes		
1. Participants will appreciate the importance of using latent approaches when analysing interactions (due to the problems of ignoring measurement error). 2. Participants will become familiar with the most up-to-date analytical methods and interpretation of results in testing moderation with latent variables. 3. Participants will have access to and become comfortable starting to use a comprehensive suite of resources enabling them to conduct LMS and RCSLMS. 4. Participants will have their specific questions answered so that they can implement LMS and RCSLMS in their projects, and feel confident in interpreting their results.		

Costs
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ANZAM Conference
Workshop and Research Symposium Template
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• **Description of the Workshop/Research Symposium for the Conference Abstract Booklet, which should also 'sell' the benefits of attending the session** (300 words max)
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- **Relevance of the Workshop/Research Symposium to ANZAM members** (100 words max)

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- **Names, titles and affiliations of the Workshop/Research Symposium organisers and presenters**

1. Professor	Gordon W. Cheung	University of Auckland Business School
2. Professor	Helena D. Cooper-Thomas	Auckland University of Technology
3.		
4.		
5.		

- **Email Address(es) of Workshop/Research Symposium organisers and presenters**

1. Gordon.cheung@auckland.ac.nz
2. Helena.cooper.thomas@aut.ac.nz
3. Email
4. Email
5. Email

- **Proposed format of Workshop/Research Symposium** (sub-divide approx. 100 minutes)

Presentation of LMS & RCLMS (15 minutes)
Demonstrate the implementation of LMS and RCLMS (45 minutes)
Interactive Q&A (40 minutes)

- **Targeted attendees**

Faculty members and PhD students

- **Anticipated outcomes**

1. Participants will appreciate the importance of using latent approaches when analysing interactions (due to the problems of ignoring measurement error).
2. Participants will become familiar with the most up-to-date analytical methods and interpretation of results in testing moderation with latent variables.
3. Participants will have access to and become comfortable starting to use a comprehensive suite of resources enabling them to conduct LMS and RCSLMS.
4. Participants will have their specific questions answered so that they can implement LMS and RCSLMS in their projects, and feel confident in interpreting their results.

Costs
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ANZAM Conference
Workshop and Research Symposium Template
(2-3 pages max total)

Workshops and Research Symposia will be held **live in a virtual video meeting format** using Microsoft Teams.

• **The proposed Workshop/Research Symposium Title**
Video reflexive ethnography: A methodology to understand and gain traction with complex practices during turbulent times'
• **The abbreviated heading for the Conference program (8 words max)**
Video reflexive ethnography
• **Summary of the Workshop/Research Symposium objectives and activities (6-8 dot points)**
Following the workshop, participants will be able to: • Explain the guiding principles that underpin video reflexive ethnography   • Identify its benefits and limitations   • Understand: the resources required; data management; and data analysis   • Describe the practical and ethical implications of using video reflexive ethnography   • Identify relevant sources of information and support to guide the use of video reflexive ethnography
• **Description of the Workshop/Research Symposium for the Conference Abstract Booklet, which should also 'sell' the benefits of attending the session (300 words max)**
This workshop is designed for those interested in research that is embedded in the complexity of everyday organisational practices and engages frontline practitioners in learning and change that is emergent and suited to their contexts. Video reflexive ethnography involves video-recording organisational practices of interest, for reflexive viewing and discussion with participants familiar with the context. These methods invite participants to view their own practices from a different perspective. In so doing, they surface participant assumptions, values, and knowledge about their ways of working, and make these assumptions amenable to examination and change.   This workshop will provide participants with an understanding of video reflexive ethnography and how it can be used to: examine and understand organisational practices; as well as promote engaged learning and sustained impact. Video reflexive ethnography creates opportunities for participants to: • Analyse and articulate how their work is characterised and impacted by turbulence   • Collectively reimagine and redefine what optimal performance means in these contexts   The facilitators will draw on their experiences and expertise in using video reflexive ethnography in healthcare, however the content will also be applicable to the study of social and professional practices in other areas.
• **Relevance of the Workshop/Research Symposium to ANZAM members (100 words max)**
The relevance of this event is demonstrated in three key ways: 1. As part of the Health Management and Organisation Special Interest Group, this workshop will bring together scholars and practitioners with an interest in complex organisations – like health services – to advance scholarship and practice   2. This workshop explicitly focuses on the conference theme, **Innovative Management in Turbulent Times**   3. As per ANZAM's Intent, this workshop will 'facilitate the consideration and dissemination of management knowledge [and]… promote greater collaboration between stakeholders' by epitomising ANZAM's Values professionalism, inclusiveness, excellence, and learning
• **Names, titles and affiliations of the Workshop/Research Symposium organisers and presenters**

1.	Dr	Suyin Hor	University of Technology Sydney
2.	A/Prof.	Ann Dadich	Western Sydney University
3.	Dr	Stephanie Best	Macquarie University

• **Email Address(es) of Workshop/Research Symposium organisers and presenters**
1. Suyin.Hor@uts.edu.au
2. A.Dadich@westernsydney.edu.au
3. Stephanie.Best@mq.edu.au
• **Proposed format of Workshop/Research Symposium (sub-divide approx. 100 minutes)**

5 min	Introduction
10 min	What makes organisations – like health services – complex?
10 min	What is video reflexive ethnography?
10 min	Why use it?
20 min	How has it been used and with what effects? Stories from the field

20 min	What are the ethical, logistical, methodological, and technical considerations of designing and conducting a video reflexive study, and how might these be managed?
5 min	How can I source additional support and guidance?
20 min	Q&A session

- **Targeted attendees**

Targeted attendees will include:
- Members of the Health Management and Organisation Special Interest Group
- Managers, practitioners, and scholars – particularly early career researchers – with an interest in, and/or who are curious about health services and related research, particularly unconventional approaches

- **Anticipated outcomes**

- Greater appreciation for the potential afforded by video reflexive ethnography (and other visual and participatory methods)
- New collaborative projects between managers, practitioners, and scholars who are interested in health service management
- A higher profile for the Health Management and Organisation Special Interest Group
- Increased membership of, and activity within the Health Management and Organisation Special Interest Group

Costs
All costs to attend the conference, including the conference registration fee, must be met by the presenters.